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The Toxic Substances Control Act, Public Law 94-469 Reporting for the Chemical Substances Inventory Instructions for Reporting for the Revised Inventory

(U.S.) Environmental Protection Agency, Washington, DC

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Office of
Toxic Substances
Washington, D.C. 20460

June 1979

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Toxic Substances

EPA

The Toxic Substances Control Act Public Law 94-469

Reporting for the Chemical Substance Inventory

Instructions For Reporting for the Revised Inventory

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The Toxic Substances Control Act's (TSCA) Initial Inventory of Chemical Substances, published on June 1979, includes chemical substances reported to EPA by their manufacturers and importers in accordance with the TSCA inventory reporting regulations. During the 210-day reporting period that begins June 1, 1979, processors and users of chemical substances for commercial purposes and importers of chemical substances as part of mixtures or articles for commercial purposes may report substances that were not included on the Initial Inventory for inclusion on a Revised Inventory, which will be published sometime in 1980. This booklet provides reporting instructions for the Revised Inventory.

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The Toxic Substances Control Act
Public Law 94-469

Reporting for the Chemical Substances Inventory

Instructions for Reporting for the Revised Inventory

U.S. Environmental Protection Agency
Office of Toxic Substances
Washington, DC 20460

FOREWORD

The Toxic Substances Control Act's (TSCA) Initial Inventory of Chemical Substances, published on June 1979, includes chemical substances reported to EPA by their manufacturers and importers in accordance with the TSCA inventory reporting regulations. During the 210-day reporting period that begins June 1, 1979, processors and users of chemical substances for commercial purposes and importers of chemical substances as part of mixtures or articles for commercial purposes may report substances that were not included on the Initial Inventory for inclusion on a Revised Inventory, which will be published sometime in 1980. This booklet provides reporting instructions for the Revised Inventory.

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INTRODUCTION

The Environmental Protection Agency (EPA) promulgated the inventory reporting regulations (40 CFR Part 710) on December 23, 1977 under the authority of section 8 of the Toxic Substances Control Act (TSCA). These regulations, which appear as Appendix 1 of this booklet, govern the reporting of chemical substances to create an Inventory of chemical substances manufactured, imported or processed in the United States for a commercial purpose.

The inventory reporting regulations establish a two phase reporting schedule for compilation of the Inventory. During a 120-day reporting period in early 1978, manufacturers and importers reported chemical substances to EPA for inclusion on an Initial Inventory. Publication of the Initial Inventory marks the beginning of the second phase, a 210-day reporting period during which processors and users of chemical substances and importers of chemical substances as part of mixtures or articles will have an opportunity to add substances to the Inventory to ensure compliance with TSCA. The second phase will result in publication of a Revised Inventory sometime in 1980.

Publication of the Initial Inventory sets into motion the premanufacture notification provisions of section 5 of TSCA. Under these provisions a person must notify EPA at least 90 days before he intends to manufacture or import a chemical substance that is not included on the Inventory. These provisions take effect on July 1, 1979, thirty days after publication of the Initial Inventory, for manufacturers and importers (in bulk) of chemical substances, and thirty days after publication of the Revised Inventory for importers of chemical substances as part of mixtures. The time line on page 3 illustrates the relationship between the Initial and Revised Inventory and premanufacture notification. Thirty days after publication of the Revised Inventory it will become unlawful for any person to use for a commercial purpose a chemical substance that was manufactured, imported, or processed in violation of section 5 of TSCA.

Persons should examine carefully the Initial Inventory and the Trademark and Product Name List before reporting a substance, in order to determine whether the substance is already included on the Inventory. Substances that appear on the published Initial Inventory should not be reported for the Revised Inventory. To further assist persons in determining whether to report for the Revised Inventory, EPA will publish one or more supplements to the Initial Inventory before the Revised Inventory is published. The supplement(s) will include substances that were omitted from the Initial Inventory due to late reporting or errors, substances

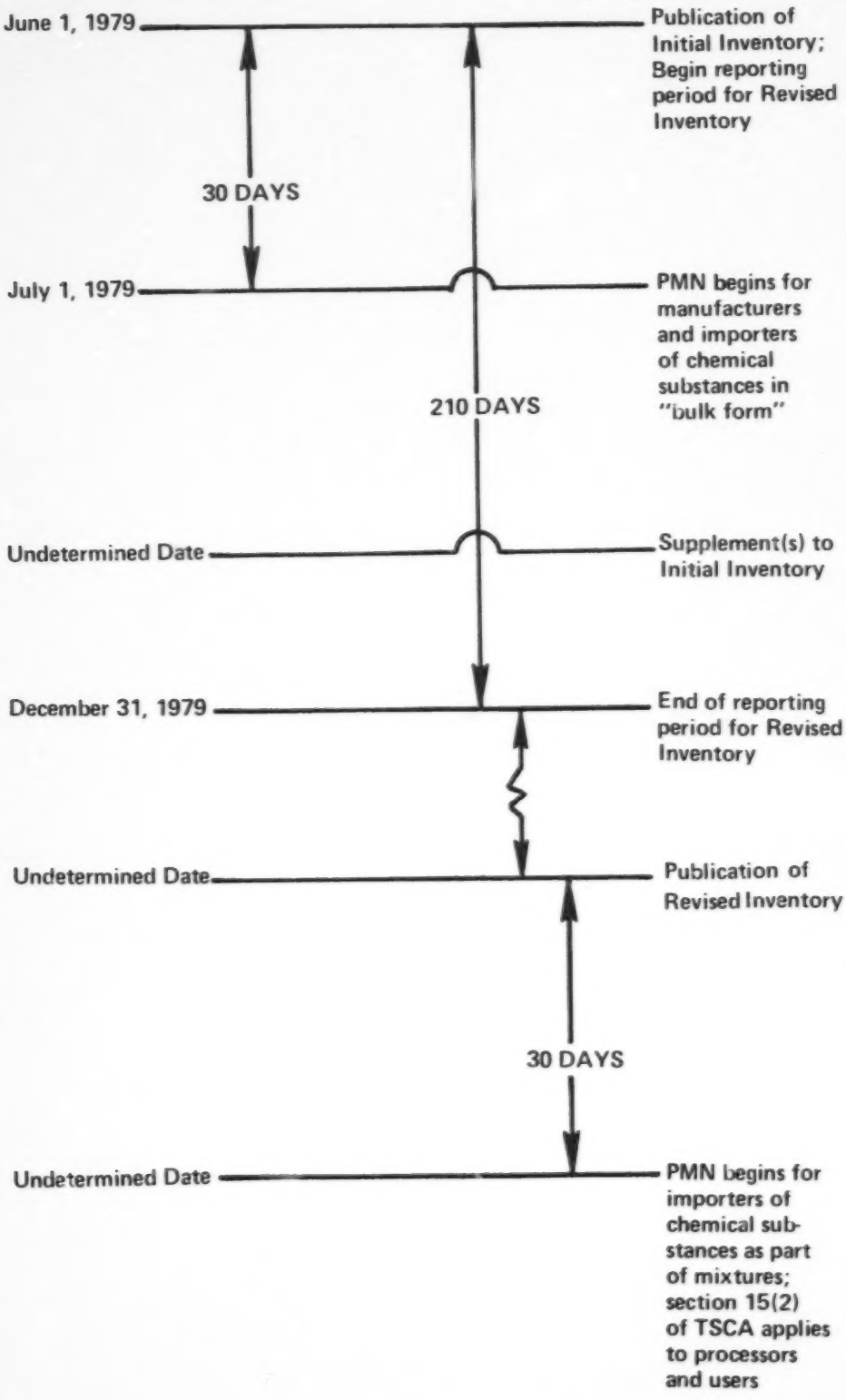
reported for the Revised Inventory, and substances that have completed premanufacture review AND have begun to be manufactured or imported for commercial purposes.

The Initial Inventory is part of a four volume set. The Inventory itself is contained in Volume I, and includes two appendices. Appendix A: Chemical Substance Definitions, identifies further chemical substances whose preferred names alone on the Inventory do not permit their unambiguous identification. Appendix B: Confidential Chemical Substance Identities, lists generic names for substances whose specific chemical identities were claimed as confidental for purposes of the Inventory. The other three volumes, entitled User Guide and Indices to the Initial Inventory, were published for use in conjunction with, but not as a substitute for, the Initial Inventory. The three indices, the Substance Name Index (contained in Volumes II and III) and the Molecular Formula and UVCB* Indices (contained in Volume IV) provide alternate means for finding substances which are listed on the Inventory.

In addition to the four volumes, EPA has published a two volume Trademark and Product Name List, which was compiled from Voluntary Product Trademark Report Form D's submitted to EPA during the Initial Inventory reporting period. This list was compiled solely to assist processors in determining whether to report for the Revised Inventory. If a processor finds the name of a product he processes on this list, he does not need to report it for the Revised Inventory.

*Chemical Substances of Unknown or Variable Composition, Complex Reaction Products and Biological Materials.

INVENTORY TIME LINE


June 1, 1979
Publication of Initial Inventory; Begin reporting period for Revised Inventory
30 DAYS
July 1, 1979
PMN begins for manufacturers and importers of chemical substances in "bulk form"
210 DAYS
Undetermined Date
Supplement(s) to Initial Inventory
December 31, 1979
End of reporting period for Revised Inventory
Undetermined Date
Publication of Revised Inventory
30 DAYS
Undetermined Date
PMN begins for importers of chemical substances as part of mixtures; section 15(2) of TSCA applies to processors and users

Chapter I

REPORTING FOR THE INVENTORY

A. Who May Report

The following persons may report a chemical substance that is not included on the published Initial Inventory for inclusion on the Revised Inventory:

(1) a person who has processed or used a chemical substances (including use in the manufacture of a mixture or article containing that chemical substances) for a commercial purpose since January 1, 1975.

OR

2) a person who has imported a chemical substance as part of a mixture or article for a commercial purpose since January 1, 1975.

Any person who is permitted to report substances for the Revised Inventory may either report individually or authorize a trade association or other agent to report on his behalf.

B. What May Be Reported

To be reportable for the Revised Inventory, a substance must not be listed on the Initial Inventory and must satisfy all of the following three criteria:

1) It must be a "chemical substance" as defined by section 710.2(h) of the inventory reporting regulations;

2) It must have been manufactured, imported, or processed for commercial purposes in the United States since January 1, 1975; and

3) It must not be excluded from the Inventory by any provision of section 710.4 of the regulations.

The Toxic Substances Control Act distinguishes three types of materials: (1) chemical substances, (2) mixtures of chemical substances, and (3) articles comprised of chemical substances or mixtures. The Inventory will list only chemical substances. It will not list mixtures or articles. It will list, however, chemical substances of which mixtures and articles are comprised.

Chemical substance is defined in section 710.2(h) of the regulations as any organic or inorganic substance of a particular molecular identity, including any combination of such substances occurring in whole or in part as a result of a chemical reaction or occurring in nature, and any chemical element or uncombined radical; except that "chemical substance" does not include:

1) any mixture [710.2(q)]* {31-36}

2) any pesticide when manufactured, processed, or distributed in commerce for use as a pesticide [710.2(b)] {37-39},

3) tobacco or any tobacco product, but not including any derivative products,

*Pertinent citations of the regulations (see Appendix 1) are given in square brackets, e.g. [710.2(h)]. Pertinent comment and responses which accompanied the regulations, are cited by enclosure in braces, e.g. {73}.

Preceding page blank

4) any source material, special nuclear material, or byproduct material [710.2(c)],

5) any pistol, firearm, revolver, shells and cartridges, and

6) any food, food additive, drug, cosmetic or device, when manufactured, processed, or distributed in commerce for use as a food, food additive, drug, cosmetic, or device [710.2(a)] {37, 40-42}.

Chemical substance is defined by chemical composition, by source or origin, and by excluding those categories of materials which are not considered substances. The materials identified in the list above must not be reported for the Inventory.

For a more complete discussion on substances that are reportable, you are directed to read Eligibility Criteria For Inclusion of Chemical Substances on the Inventory found in the Introduction of Volume I of the Initial Inventory.

Excluded Substances

Some materials which are "chemical substances" and which have been processed for commerical purposes since January 1, 1975, are excluded from the Inventory, and must not be reported. A chemical substance is excluded if it is, or has been:

1. Manufactured, imported, or processed solely in small quantities for research and development [710.4(c)(3), 710.2(y)] {29, 43-51}.

   o The NOTE appearing at section 710.2(y) of the regulations states that any chemical substance that is manufactured, imported or processed in quantities of less than 1,000 pounds annually is presumed to be an R&D chemical substance. Such a chemical substance may be reported for the Revised Inventory, however, if the person can certify that the chemical substance was not imported or processed, solely in "small quantities for research and development".

2. A Mixture

   o Section 710.2(q) defines hydrates and hydrated 'ions' as mixtures. A note to 710.4(c) indicates that alloys, inorganic glasses, ceramics, frits, and cements, including Portland cement, are to be regarded as mixtures. Certain combinations of metals, inorganic metal compounds, and inert supports, which are frequently used for commercial purposes, including for use as solid phase heterogeneous catalysts, are also considered mixtures and should not be reported. The components of these mixtures, insofar as they are known, should be reported if they are not found on the Initial Inventory.

3. An impurity [710.2(m)], [710.4(d)(1)] {61}

   o By this inclusion, impurities are not reportable, and, furthermore, no chemical substance which is reported for the Inventory should be identified in terms of its impurities, or by its commercial grades. An impurity is defined as an unintended component of a substance.

4. A byproduct [710.2(q)] which has no commercial purpose.

   NOTE:--A byproduct which has commercial value only to municipal or private organizations who (i) burn it as

fuel, (ii) dispose of it as a waste, including in a landfill or for enriching soil, or (iii) extract component chemical value, may be reported for the Inventory, but will not be subject to premanufacture notification under section 5 of TSCA if not included [710.4(d)(2)] {52-55}.

- o Byproducts which have commercial value for reasons other than those specified in the NOTE are not excluded from the Inventory [see 710.2(p)].

5. A chemical substance which results from a chemical reaction that occurs incidental to exposure of another chemical substance, mixture, or article to environmental factors such as air, moisture, microbial organisms, or sunlight [710.4(d)(3)].

   - o Chemical substances, such as rust on iron, or other corrosion or degradation products, which form incidental to environmental exposure are excluded from the Inventory.

6. A chemical substance which results from a chemical reaction that occurs incidental to storage of another chemical substance, mixture, or article [710.4(d)(4)].

   - o Degradation products which form incidental to the storage of a chemical substance, such as the partial polymerization of a drying oil, are excluded from the Inventory.

7. A chemical substance which results from a chemical reaction that occurs upon end use of other chemical substances, mixtures, or articles such as adhesives, paints, miscellaneous cleansers or other housekeeping products, fuels and fuel additives, water softening and treatment agents, photographic films, batteries, matches, and safety flares, and which is not itself manufactured for distribution in commerce or for use as an intermediate [710.4(d)(5)].

   - o Chemical substances that are the components of curable plastic or rubber molding compounds, inks, etc., are not excluded from the Inventory by this provision; only the chemical substances that are formed upon use of such materials are excluded.

8. A chemical substance which results from a chemical reaction that occurs upon use of curable plastic or rubber molding compounds, inks, drying oils, metal finishing compounds, adhesives, or paints; or other chemical substances formed during manufacture of an article destined for the marketplace without further chemical change of the chemical substances except for those chemical changes that may occur as described in section 710.4(d) of the regulations [710.4(d)(6)].

   - o Chemical substances which are the components of curable plastic or rubber molding compounds, inks, etc. are not excluded from the Inventory by this provision; only the chemical substances which are formed upon the use of such materials are excluded.

9. A chemical substance which results from a chemical reaction that occurs when (i) a stabilizer, colorant, odorant, antioxidant, filler, solvent, carrier, surfacant, plasticizer, corrosion inhibitor, antifoamer or defoamer, dispersant, precipitation inhibitor, binder, emulsifier, demulsifier, dewatering agent,

agglomerating agent, adhesion promoter, flow modifier, pH neutralizer, sequesterant, coagulant, flocculant, fire retardant, lubricant, chelating agent, or quality control reagent functions as intended or (ii) a chemical substance, solely intended to impart a specific physico-chemical characteristic, functions as intended [710.4(d)(7)].

- o The substances comprising the various materials listed above are not excluded from the Inventory; only the chemical substances unintentionally formed upon use of such materilas are excluded.

10. A chemical substance which is not intentionally removed from the equipment in which it was manufactured.

NOTE:--The "equipment in which it was manufactured" includes the reaction vessel in which the chemical substance was manufactured and other equipment which is strictly ancillary to the reaction vessel, and any other equipment through which the chemical substance may flow during a continuous flow process, but does not include tanks or vessels in which the chemical substance is stored after its manufacture [710.4(d)(8), 710.2(n)] {67-71}.

C. When to Report

The reporting period for the Revised Inventory begins on June 1, 1979 and ends on December 31, 1979. Persons who begin processing a chemical substance or importing a chemical substance as part of a mixture or article FOR THE FIRST TIME after the last date may report such substance(s) to EPA at the time processing or importation begins, up to thirty days after publication of the Revised Inventory.

D. How to Determine Whether to Report

The following suggested procedures are provided to assist persons who may wish to report a substance for the Revised Inventory but are unsure whether the substance is included on the Initial Inventory. Since all reporting is voluntary, you are under no obligation to follow these procedures, and may use any suitable method to determine whether you should report.

In general, if a processor has received written certification from his suppliers that all the component chemical substances in the product(s) he processes have been reported for the Inventory, the processor should not be concerned about reporting.

1. If you know the composition of the product:

   -- Consult the Initial Inventory to determine whether all the reportable chemical substances comprising the product are included.

   -- If all component substances are included on the Initial Inventory, DO NOT REPORT.

   -- If one or more component substances are not included on the Initial Inventory, you should report them for inclusion on the Revised Inventory by completing a Form E for each component according to the instructions provided in Chapter II of this booklet, and submitting the form to the address provided on it.

2. If you do not know the composition of the product:

   -- Consult the Trademark and Product Name List to determine whether the product is included. If the product is included, DO NOT REPORT.

   -- If the product is not included in the Trademark and Product Name List, contact your supplier and ask him for written certification that all component substances have been reported for the Inventory.

   -- If your supplier refuses to certify that all reportable chemical substances comprising the product have been reported for the Inventory, ask him to disclose to you the identities of the component chemical substances.

   -- If your supplier agrees to disclose to you the identities of the components, follow part 1 above.

   -- If your supplier refuses to disclose to you the identities of the component substances, ask him to assist you in reporting by following procedure 3 on page 10.

-- If your supplier refuses to assist you in reporting, submit a letter to EPA providing:

-- your company name and address

-- the name and address of your supplier

-- the name(s) of the product(s) you purchase
-- from that supplier

-- a signed statement indicating that your supplier will not certify to you that all reportable substances comprising the product(s) have been reported for the Inventory.

-- and address this to:

Document Control Officer
Office of Toxic Substances (TS-793)
U.S.E.P.A.
401 M St. S.W.
Washington, D.C. 20460

3. Procedure for Reporting with Supplier Assistance:

Instructions for Reporting Company (i.e., processor/ importer)

-- Before completing blocks I-III of the report form, remove the carbon paper between the submitting company copy and the acknowledgement postcard.* (See explanation below.) Enter the name of your company in Block II. Then, enter the complete name and address of your supplier, as the technical contact, in block III.

-- Block I contains the certification statement which must be signed by an authorized person of your company.

-- In Block IV, check the appropriate box under the heading "Activity". If you both process and import the substance and wish to keep that fact confidential with respect to your supplier, only check the activity in which you are primarily engaged. You may also claim "Activity" and/or "Company" as condidential.

-- At the bottom of the form, in the space provided in block IV for supplementary information, print or type the Product Trade Name.

-- Photocopy the partially completed form for your records and send the entire form to your supplier. Remember to write-in your name and address on the acknowledgement postcard, but do not detach it at any time.

Instructions for Suppliers (i.e., domestic or foreign chemical manufacturers):

-- Enter the specific chemical identity of the tradename product indicated by the importer or processor in block IV. Read carefully the instructions on how to identify a chemical substance found in Chapter III of this booklet.

*This report form is designed so that the address entered in block III will carbon copy onto the attached postcard. Since this postcard will be returned to that address to verify EPA's receipt of the form, one should remove the carbon paper between the submitting company copy and the postcard if the technical contract address is different from the submitting company address. On the postcard enter the address to which the card should be sent. Do not however , detach the postcard from the rest of the form to insert separately in a typewriter, for example. The postcard must remain attached to the form.

-- If the importer or processor has identified a product which is an article, mixture, or an excluded chemical substance, either indicate that the product contains no reportable substances or identify the reportable chemical substance in the product.

-- Sign the supplier certification statement appearing in block I of the form, attesting to the truth of the statement on the back of the form. Enter the date you signed the form.

-- If you wish to claim the chemical identity or method of manufacture of the substance confidential, follow the procedure described in chapter IV of this booklet, entitled "Confidentiality." In addition, check the appropriate box under the heading "Confidentiality Claims." Suppliers will not have to make confidentiality claims for "Activity" or "Company" the processor or importer will have already made or considered making these claims.

-- Retain the last copy, marked "Submitting Company Copy," and send the remaining form copies to EPA.

E. Further Assistance

If you need further assistance in interpreting the regulations, finding a substance which may be on the inventory, or completing the report form, or if you would like to order additional materials to aid in reporting, contact:

1. EPA's Industry Assistance Office at (800) 424-9065 (Washington, D.C., please call 554-1404). Written inquiries may be addressed to:

   Industry Assistance Office (TS-799)
   U.S. Environmental Protection Agency
   401 M St., S.W.
   Washington, D.C. 20460

2. Your EPA Regional Office. Each Regional Office is staffed by persons who can respond to your questions concerning the inventory reporting regulations. The person to contact in each regional office is identified on page 13.

NATIONWIDE TOLL-FREE NUMBER: 800-424-9065

*If calling from Washington, D.C: 554-1404

Region I

Mr. Robert Dangel
John F. Kennedy Federal Building
Boston, Massachusetts 02203
617-223-0585

Region II

Mr. William Librizzi
Raritan Depot, Building 209
Edison, New Jersey 08817
201-321-6673

Region III

Mr. Edward Cohen
Curtis Building
6th & Walnut Streets
Philadelphia, PA 19106
215-597-7668

Region IV

Mr. Ralph W. Jennings, Rm. 345
345 Courtland Street, N.E.
Atlanta, Georgia 30308
404-881-3864

Region V

Mr. Karl E. Bremer
230 South Dearborn Street
Chicago, Illinois 60604
312-353-2291

Region IV

Dr. Larry Thomas
First International Building
1201 Elm Street
Dallas, Texas 75270
214-767-2734

Region VII

Mr. William Brinck
324 East 11th Street
15th Floor
Kansas City, Missouri 64106
816-374-3036

Region VIII

Mr. Ralph Larsen
1860 Lincoln Street
Denver, Colorado 80295
303-837-3926

Region IX

Mr. Jerry Gavin
215 Freemont Street
San Francisco, California 94105
415-556-3352

Region X

Dr. James Evert
1200 6th Avenue
Seattle, Washington 98101
206-442-1090

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IMPORTANT: Before completing this form, carefully read the EPA publication "Reporting for the Chemical Substance Inventory, Instructions for Reporting for the Revised Inventory."

Approved OMB Form No. 158 S 77011

U. S. ENVIRONMENTAL PROTECTION AGENCY
CHEMICAL SUBSTANCE INVENTORY REPORT

(Section 8(a) and (b) Toxic Substances Control Act 15 USC 2607)

E

FORM NUMBER	FORM NUMBER
0000000 0	0000000 0
	DO NOT REMOVE LABEL

I. CERTIFICATION STATEMENT: I hereby certify that (1) I am eligible to report for the Revised Inventory under 40 CFR Part 710.3(b), and to the best of my knowledge and belief, (2) the chemical substance identified below (a) is eligible for inclusion on the Revised Inventory under 40 CFR 710, and (b) was not manufactured or imported in bulk form for a commercial purpose for the first time after the effective date of pre-manufacture notification requirements for manufacturers of chemical substances and importers of chemical substances in bulk form; (3) all information entered on this form is complete and accurate; and (4) the confidentiality statements on the back of this form are true as to that information for which I have asserted a confidentiality claim. I agree to permit access to, and the copying of, records by a duly authorized representative of the EPA Administrator, in accordance with the Toxic Substances Control Act, to document any information reported here.

Raymond J. Johnson 4/1/79
SIGNATURE Date

Raymond J. Johnson/Vice President
NAME / TITLE (TYPE OR PRINT)

Supplier Signature Date

MID (EPA USE ONLY)

II. COMPANY NAME/ADDRESS

NAME XYZ Processors, Inc.
ADDRESS 5678 Z Street
CITY Elmira STATE NJ
COUNTY Mitchell ZIP 56789

EPA RECEIPT DATE

III. TECHNICAL CONTACT NAME / ADDRESS / PHONE

NAME A.B. Collins
ADDRESS XYZ Processors, Inc.
5678 Z Street
CITY Elmira STATE
ZIP 56789
PHONE 750-234-4532

IV. CHEMICAL SUBSTANCE IDENTITY / ACTIVITY / CONFIDENTIALITY

NUMBER	CAS REGISTRY NUMBER (IF KNOWN)	SPECIFIC CHEMICAL NAME (SEPARATE SYNONYMS WITH A SEMI-COLON)	ACTIVITY: PROCESS	ACTIVITY: IMPORT	Confidential Claims: (a) Activity	Confidential Claims: (b) Company	EPA USE ONLY NUMBER
1	563-45-1	3-methyl-1-butene: isopropylethylene					1

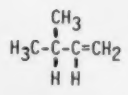
IN THE SPACE PROVIDED BELOW, PROVIDE STRUCTURAL INFORMATION, MOLECULAR FORMULA, AND OTHER SUPPLEMENTAL INFORMATION TO AID IN THE SPECIFIC IDENTIFICATION OF THE CHEMICAL SUBSTANCE.

C_5H_{10}

MOLECULAR FORMULA

☐ See Attached Supplemental Description Sheets (Write Form Number on all attachments)

No. of Sheets



☐ (c) METHOD OF MANUFACTURE IS CONFIDENTIAL (Circle applicable information and mark it CONFIDENTIAL)

☐ (d) CHEMICAL SUBSTANCE IDENTITY IS CONFIDENTIAL

(1) SUBSTANTIATION:
☐ No. of attached substantiation sheets (write form number on all substantiation sheets)

(2) Proposed Generic Name:

☐ (3) I agree to the terms of CONFIDENTIAL SUBSTANCE IDENTITY STATEMENT on the back of this form

THE ABOVE IS AN EXAMPLE OF A PROCESSED CHEMICAL SUBSTANCE FOR WHICH NO CONFIDENTIALITY CLAIMS HAVE BEEN MADE.

EPA 7710-3E (REV. 3/79)

Chapter II

HOW TO COMPLETE THE REPORT FORM

BLOCK I. CERTIFICATION STATEMENT AND SIGNATURE

SIGNATURE: The certification statement must be signed by a person authorized by the importer or processor to sign his official documents. If a trade association or other agent reports on behalf of one or more importers or processors, a duly authorized official of the trade association or agent must sign the statement.

DATE: Enter the month, day, and year that the form was signed.

NAME AND TITLE: Enter the name and title of the person who signed the certification statement.

SUPPLIER SIGNATURE AND DATE: If an importer or processor elects to have his supplier (either foreign or domestic) report the identity of the chemical substance he imports or processes, a duly authorized official of the supplier must sign in the space provided, attesting to the truth of the Certification Statement by Supplier on the back of the form. Enter the date the certification statement was signed.

BLOCK II. COMPANY NAME/ADDRESS

GENERAL NOTE: Enter one letter per space. Leave one blank space between each word.

Reporting individually: Enter the name and address of the person (company, corporation, or other person as defined in the inventory reporting regulations) who processed or imported the chemical substance identified in block IV.

Reporting by trade association or other agent: Enter the complete name and headquarters address of the trade association, or the name and address of the agent.

The following list contains two-letter state abbreviations which should be used in completing blocks II and III.

BLOCK III. TECHNICAL CONTACT NAME/ADDRESS/PHONE

Enter the name, address, and telephone number (including area code and extension, if applicable) of the person whom EPA may contact for clarification of information submitted on this form. An importer or processor who elects to have his supplier (either foreign or domestic) report the identity of the chemical substance must enter the name and address of this supplier in this block.*

BLOCK IV. CHEMICAL SUBSTANCE IDENTITY/ACTIVITY/CONFIDENTIALITY CLAIMS

CAS REGISTRY NUMBER: Enter the Chemical Abstracts Service (CAS) Registry Number if known. Include hyphens. CAS Registry Number for a great many chemical substances may be found in the following sources:

-- CA Volume, or Collective Chemical Substance Indices
-- CA Volume, or Collective Formula Indices
-- CA INDEX GUIDE
-- CAS REGISTRY HANDBOOK -- Common Names (on microform).

Refer to Appendix 2 or more information on these sources.

SPECIFIC CHEMICAL NAME: Following the instructions presented in Chapter III enter a specific chemical name for a Class 1 chemical substance or a specific name for a Class 2 chemical substance. EPA encourages the reporting of synonymous names for each substance reported. Separate synonyms from the "specific chemical name" and from one another with semi-colons. If there is insufficient space, write synonyms in the supplemental space at the bottom of the form.

OTHER CHEMICAL SUBSTANCE IDENTIFICATION INFORMATION:

Enter in the space provided for supplemental information, if applicable, other information needed to identify clearly the reported chemical substance. Refer to Chapter III for a specification of what information must be submitted when reporting a Class 1 or Class 2 chemical substance.

ACTIVITY: Enter a check in the appropriate box under the general heading "Activity" to indicate whether you process or import the chemical substance. If you both process and import the substance you may check both boxes.

CONFIDENTIALITY CLAIMS: Enter a check in the appropriate box(es) to indicate which information is claimed confidential. Trade associations or agents are not permitted to make any confidentiality claims.

a. By checking the box labeled "Activity" you assert that the link between your company and the activity, i.e., the fact that your company imports or processes the chemical substances identified in Block IV for commercial purposes, is confidential.

*This report form is designed so that the address entered in block III will carbon copy onto the attached postcard. Since this postcard will be returned to that address to verify EPA's receipt of the form, one should remove the carbon paper between the submitting company copy and the postcard if the technical contact address is different from the submitting company address. On the postcard enter the address to which the card should be sent. Do not however, detach the postcard from the rest of the form to insert separately in a typewriter, for example. The postcard must remain attached to the form.

b. By checking the box labeled "Company" you assert that the link between your company and the chemical substance identified in Block IV is confidential.

c. By checking the box labeled "Method of Manufacture is confidential" you assert that the information in Block IV which you have designated as relating to the Method by which the chemical substance reported on the form was manufactured, is confidential.

Chapter III

Identifying Chemical Substances Which Have No Known CAS Registry Number

All chemical substances which are reported for the Inventory must be identified clearly. For a substance with a Chemical Abstracts Service (CAS) Registry Number, reporting the CAS Registry Number and a specific chemical name usually will ensure its unambiguous identification for the Inventory. (See Appendix 2 for Sources of CAS Registry Numbers.) To report a chemical substance which has no known CAS Registry Number, one must provide chemically descriptive information of the type specified in this chapter. Such information should be entered in the appropriate spaces provided in Block IV of the report form. Supplemental sheets, if needed, should be attached to the form and bear the identifying Form Number of the specific form to which they are attached. (The Form Number is the eight digit number which appears in the upper left-hand corner of each form.)

Class 1 and Class 2 Chemical Substances

The type of chemically descriptive information required to identify properly a chemical substances depends on whether the substance is a Class 1 or Class 2 substance.

A Class 1 substance is a chemical substance whose composition can be represented by a definite chemical structure diagram. Examples of Class 1 substances are: benzene, sodium chloride, and dimethylmercury.

A Class 2 substance is a chemical substance whose composition cannot be represented by a definite chemical structure diagram. Examples of Class 2 substances are: linseed oil, chlorinated butyl rubber, and the glycerol monoester of hydrogenated cottonseed oil acids.

As a special case, polymers which are prepared solely using Class 1 monomers are considered Class 1 substances. On the other hand, polymers (for example, alkyd resins) which are prepared using, in whole or in part, Class 2 monomers are considered Class 2 substances. (For a more complete discussion, see Introduction of Volume I of the Initial Inventory.)

A. Reporting the Identity of a Class 1 Chemical Substance

The following information must be reported to identify a Class 1 chemical substance which has no known CAS Registry Number:

I. a specific chemical name,
II. the molecular formula, and
III. the chemical structure diagram.

Each item of information listed above is important to the proper identification of a Class 1 chemical substance and is discussed in detail below. In addition, several examples are provided which illustrate the type of information needed to identify and report a Class 1 chemical substance.

1. A Specific Chemical Name

In the space under "Specific Chemical Name" in Block IV of the form, enter a name that clearly and uniquely identifies the chemical substance being reported. The name should identify the positions of attachment of chemical groups or of unsaturation, if any, by the use of locants. (Locants are numerals or Greek or Roman letters commonly used in a chemical name to designate the positions of unsaturated bonds or attachments of chemical groups in a molecule.) Failure to use locants in naming a substance

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that has several isomeric forms will create ambiguity in the identification of the specific chemical substance being reported. The following names, as examples, are ambiguous and should not be used to describe Class 1 compounds: anisidine, chlorotoluene, nitrosonaphthol, picoline, xylene. Chemical groups should also be described by terms which are unambiguous (e.g., "octyl" or "isooctyl" should not be used if "2-ethylhexyl" is meant). Stereochemical descriptors should be included in the substance name whenever appropriate.

If the substance is a salt, an ester, or an addition compound and one or both of the components are polybasic, the name should clearly specify the ratio of the components (or note that the ratio is unknown). For example:

Fumaric acid, monosodium salt
Mono(2-ethylhexyl) citrate
Glycerol 1,3-dibenzoate

It is essential that the specific chemical name be consistent with the other information used to identify the substance. The name is the first item of information used in identifying a chemical substance. Any inconsistency among the name, the molecular formula, and the chemical structure diagram will necessarily require further clarification on your part before the chemical substance can be entered on the Inventory.

EPA also encourages you to enter, following the specific chemical name and separated by semicolons, other common names by which the chemical substance is identified in the scientific and technical literature, or in product listings. Do not, however, enter trademarks, abbreviations, acronyms, or laboratory designations.

2. The Molecular Formula

There are several possible formats for molecular formulas. Two important conventions are the Hill convention and the dot-disconnect convention. The Hill convention lists carbon first, then hydrogen, and then the rest of the elements in alphabetic order. The dot-disconnect convention represents salts and addition compounds as distinct units separated by a dot. In the case of salts the dot-disconnect format lists acidic hydrogens in the molecular formula, even though they may have been lost in the salt formation (for example, silver nitrate is represented as $Ag.HNO_3$). Since the Hill convention (and dot-disconnect if appropriate) are used in the Inventory, this is the preferred format; however, any unambiguous notation is acceptable.

For example, the molecular formula for the sodium salt of acetic acid (sodium acetate) could be presented as'

$C_2H_3NaO_2$ (single summation format, Hill convention)

or

[preferred] $C_2H_4O_2.Na$

or

CH_3COONa

or

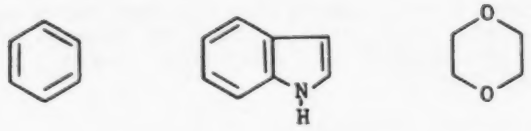
$NaC_2H_3O_2$

3. The Chemical Structure Diagram

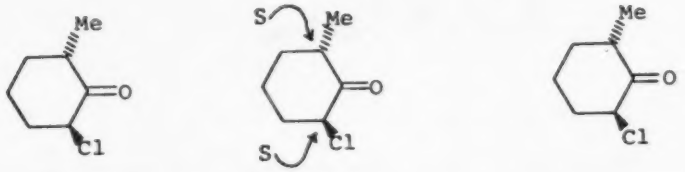
The chemical structure diagram should be entered in the space provided within Block IV and should clearly indicate the identity of the atoms and the nature of the bonds joining in the atoms. Commonly used functional group abbreviations or shortcuts are acceptable as long as they are unambiguous. For example:

-Me	-Et	-Pr	$-CO_2H$	$-SO_3H$
$-SO_2-$	$-NO_2$	-CO-	-CHO	-Ph

Alkyl groups represented by summation-type formulas (e.g., C_4H_9 - or C_8H_{17}-) will be assumed to be normal or "straight chain" unless otherwise designated (e.g., tert-C_4H_9-). Carbon atoms in ring systems and their attached hydrogen atoms need not be explicitly shown. For example:



Any ionic charges or stereochemistry should be shown clearly. All known stereochemical details should be provided. There should also be some indication whether the stereochemistry shown in the diagram is absolute or merely relative. For example:



trans (i.e., relative)

absolute

+ − (i.e., racemate)

Once again, just as in the case of the chemical substance name, the ratio of the components for an addition compound or salt should be indicated clearly if more than one form is at least theoretically possible. For example:

$(HO_2CCH_2)_2NCH_2CH_2N(CH_2CO_2H)_2$ disodium salt

$(HO_2CCH_2)_2NCH_2CH_2N(CH_2CO_2H)_2$ tetrasodium salt

$H_2N(CH_2)_6NH_2$ dihydrochloride

Class 1 Chemical Substance Identification Examples

The eight examples which follow illustrate the information needed to identify Class 1 chemical substances properly. Some examples are introduced by a substance name which is too ambiguous to be used as a Class 1 substance name. In such cases, the comment points out the ambiguity. Proper information (name, formula, structure) for the identification of one possible Class 1 substance is then presented. (See also the discussion of Class 2 substances where the ambiguity genuinely exists in the specific name for the chemical substance).

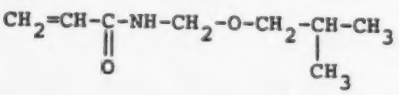
A. N-(isobutoxymethyl)acrylamide:

Comment: This chemical name unambiguously identifies a Class 1 substance.

NAME: N-(isobutoxymethyl)acrylamide

FORMULA: $C_8H_{15}NO_2$

STRUCTURE:



B. Dixylylethane:

Comment: The name dixylylethane is ambiguous without the use of locants. This name could either refer to a class 2 substance or could be an ambiguous synonym for a specific Class 1 substance. The incorporation of locants in the name can eliminate the ambiguity. A specific Class 1 substance would be identified as:

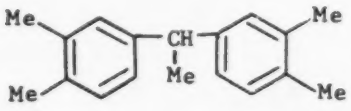
NAME: 1,1-Di-3,4-xylylethane

OR

1,1-Bis(3,4-dimethylphenyl)ethane

FORMULA: $C_{18}H_{22}$

STRUCTURE:



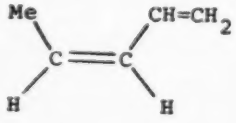
C. cis- and trans-Piperylene

Comment: Piperylene, or 1,3-Pentadiene, can be found with CAS Registry Number 504-60-9. This CAS Registry Number, however, is for the nonstereospecific form of the substance. The cis- and trans-piperylenes, if reported as individual chemical substances, should clearly distinguish between the two isomeric forms.

NAME: cis-Piperylene (or cis-1,3-Pentadiene)

FORMULA: C_5H_8

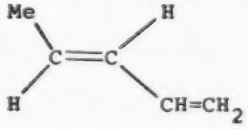
STRUCTURE:



NAME: Trans-Piperylene (OR trans-1,3-Pentadiene)

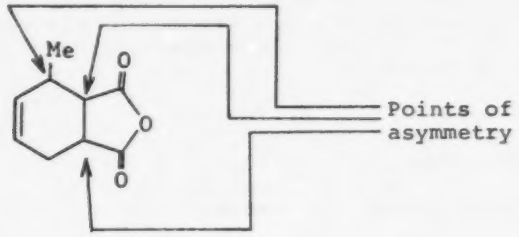
FORMULA: C_5H_8

STRUCTURE:



D. cis-3-Methyl-Δ^4-tetrahydrophthalic anhydride

Comment: While the name 3-Methyl-Δ^4-tetrahydrophthalic anhydride is a systematic or descriptive substance name, the designation cis is ambiguous. Inspection of the structural diagram for this substance shows three asymmetric carbon atoms, that is carbon atoms joined to four different atoms or groups of atoms.



The stereochemical designation "cis" indicated that two chemical groups or atoms are located on the same side of a reference plan through the molecule (in this case, the cyclohexene ring). It would take two such designations to uniquely describe the relationship among the three centers.

The following data would be adequate to describe a specific substance.

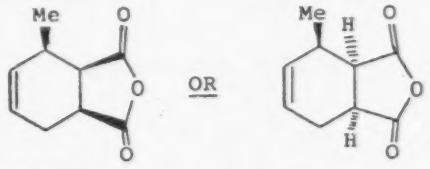
NAME: cis,cis-3-Methyl-Δ^4-tetrahydrophthalic anhydride

or

cis-3-Methyl-cis-Δ^4-tetrahydrophthalic anhydride

FORMULA: $C_9H_{10}O_3$

STRUCTURE:



E. Sodium sebacate

Comment: Sebacic acid is a dibasic acid (i.e., decanedioic acid). Sodium sebacate could refer to the mono- or disodium salt. If the designation "sodium sebacate" refers to the fully neutralized acid, the precise designation "disodium sebacate" should be used to eliminate the ambiguity. The proper reporting in that case would be:

NAME: Disodium sebacate

FORMULA: $C_{10}H_{18}O_4.2Na$ OR $C_{10}H_{16}Na_2O_4$

STRUCTURE: $HO_2C-(CH_2)_8-CO_2H.\ 2Na$

or

$HO_2C-(CH_2)_8-CO_2H$ disodium salt

or

$NaO_2C-(CH_2)_8-CO_2Na$

F. Chromium manganese oxide

Comment: The reporting of mixed metal compounds containing hydroxyl (-OH), oxy(-O), oxo(=O), or peroxy (-O-O-) groups

presents special problems. Depending upon the nature of the metals involved, these compounds may be represented as salts of inorganic oxo acids or as mixed metal oxides with no attempt to elucidate the structure beyond the basic elemental composition. The substance $CrMnO_4$ can be represented in three ways -- the chromium (2+) salt of manganic acids, the manganic (2+) salt of chromic acid or as simple as chromium manganese oxide, i.e., structure unknown. The reporting of such substance names is encouraged. (Stock Numbers are Roman numerals added parenthetically to indicate the state or states of oxidations.) For example:

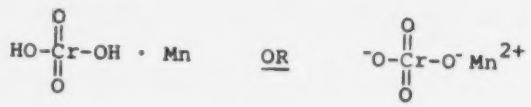
Iron(II) oxide	FeO
Iron(III) oxide	Fe_2O_3
Iron(II,III) oxide	Fe_3O_4

The following shows a preferred format for reporting a specific form of chromium manganese oxide.

NAME: Manganese (II) chromate (VI)

FORMULA: $H_2CrO_4.Mn$ or $MnCrO_4$

STRUCTURE:



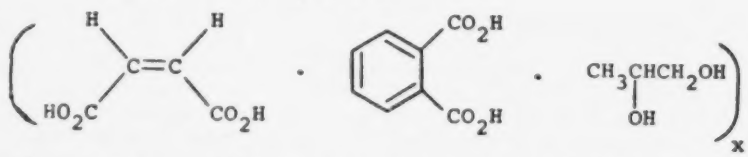
G. Maleic acid-phthalic acid-propylene glycol terpolymer

Comment: Synthetic polymers reported for the Inventory should be identified by name, structure, and formula in terms of the monomer(s) from which they have been prepared.

NAME: cis-maleic acid-phthalic acid-propylene glycol terpolymer

FORMULA: $(C_4H_4O_4 \cdot C_8H_6O_4 \cdot C_3H_8O_2)_x$

STRUCTURE:



[Note that the structure diagram for maleic acid clearly shows the cis-configuration.]

or

Using specific names and CAS Registry Number:

maleic acid	.	phthalic acid	.	propylene glycol
(110-16-7)		(88-99-3)		(57-55-6)

H. Disodium salt of polyethylene glycol lauryl ether monosulfosuccinate

Comment: Polyethylene glycol and polypropylene glycol and their many derivatives are most conveniently represented on the basis of a structural repeating unit formula which simplifies the description of the end groups. The preferred reporting would include:

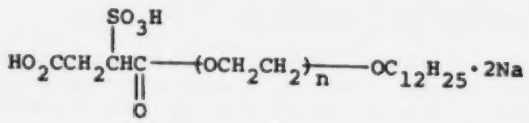
NAME: Disodium salt of polyethylene glycol lauryl ether monsulfosuccinate

FORMULA: $(C_2H_4O)_nC_{16}H_{30}O_7S \cdot 2Na$

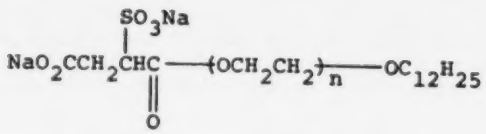
OR

$(C_2H_4O)_nC_{16}H_{28}Na_2O_7S$

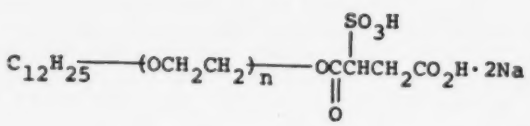
STRUCTURE:



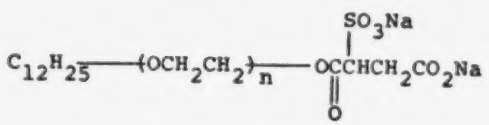
OR



OR



OR



Reporting the Identity of a Class 2 Chemical Substance

The following information should be reported to identify a Class 2 chemical substance having no known CAS Registry Number:

I. a specific name, and

II. the method of preparation

Note that the method of preparation refers to the method of manufacture of the chemical substance being reported and not to how the substance is being used by the processor. Even though the processor is reporting the substance, the method of preparation (manufacture) is necessary for adequate identification of most Class 2 substances. This information may be held confidential (refer to Chapter IV of this booklet). In addition, some Class 2 substances may be represented by a partial or incomplete structure diagram, or may be described in terms of their general chemical composition. Each of these items of information is discussed below and illustrated by several examples.

I. A Specific Name

A Class 2 chemical substance should be identified by a name, entered in the space below "Specific Chemical Name" of Block IV, which is as descriptive of the substance as possible. In some cases, the name may take the form of a specific chemical name containing locants, component ratios, and stereochemistry. In other cases, the best possible name may only identify the substance as the reaction product of specified reactants.

EPA encourages you to enter, following the specified name and separated by semicolons, other common names by which the chemical substance is identified in the scientific and/or technical literature, or in product listings. Do not however, enter trademarks, abbreviations, acronyms, or laboratory designations.

II. The Method of Preparation

In the space provided in Block IV, enter a description of the final step of the method used to manufacture or produce the Class 2 chemical substance.

For substances prepared by chemical reaction, the description should appear in the form of a reaction scheme, for example:

$$A + B \rightarrow C.$$

The final reaction scheme should unambiguously identify, by name, the immediate precursor substance(s), the nature of the reaction, and the reactants whether or not they are implied by the term used to describe the nature of the reaction. The precursor substance(s) and/or the reactants should also be identified by their respective CAS Registry Number(s), if known. Reaction description terms should be as specific as possible (e.g., acetylation, alkaline hydrolysis, chlorination, diazotization, epoxidation). General reaction terms should not be used if at all possible. (e.g., addition, condensation, reaction). The examples which follow this discussion indicate the appropriate placement of such information in the reaction scheme.

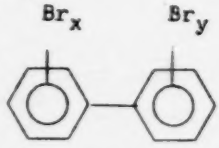
If a Class 2 chemical substance is produced through several different final reaction schemes, describe each of these final reaction schemes. For example, if it is produced by either $A + B \rightarrow C$ or by $D + E \rightarrow C$. Describe C in terms of both of these final reaction schemes.

For substances produced without chemical reaction, for example by extraction from a natural source or reaction mass, specify the source, extraction process and the nature of the extract.

Other Information

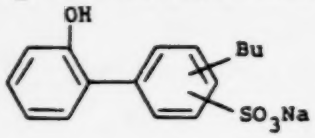
In some cases, a Class 2 chemical substance can be represented by a partial or incomplete chemical structure diagram. For example:

A. Hexabromobiphenyl



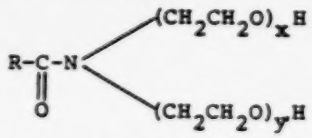
x + y = 6

B. Sodium butyl (o-hydroxyphenyl)benzenesulfonate



Comment: butyl (Bu means $CH_3-CH_2-CH_2CH_2-$ (straignt chain)

C. Ethoxylated hydrogenated tallow amide



R-C- is a hydrogenated tallow fatty acid radical
‖
O

In the cases noted above, the name and partial structure diagram are sufficient to identify the substance, and the method of preparation does not have to be included. When in doubt, the method of preparation should be included to reduce the possibility of having to file a new report form with additional information.

In those cases where the general composition of the class 2 substance is known, enter in Block IV the major components in addition to method of preparation of the chemical substance (see Example A below).

Class 2 Chemical Substance Identification Examples

The seven examples listed below demonstrate how to identify properly a Class 2 chemical substance. Each example is headed by a common substance name.

A. Superphosphate

Comment: Superphosphate is a substance obtained by treating phosphate rock with sulfuric acid. It may be reported in the following manner:

NAME: Superphosphate

PREPARATION: Phosphate rock $\xrightarrow{H_2SO_4(7664\text{-}93\text{-}9)}$

Consists predominantly of $CaH_4(PO_4)_2$, $CaHPO_4$ and $CaSO_4$.

B. Chlorinated butyl rubber

Comment: Chlorinated butyl rubber is obtained by chlorination of butyl rubber, which is a copolymer of isobutylene and isoprene.

NAME: Chlorinated butyl rubber

or

Chlorinated (isobutylene-isoprene copolymer)

PREPARATION: $(\text{isobutylene-isoprene})_x \xrightarrow[\text{chlorination}]{ClSO_2Cl\ (7791\text{-}25\text{-}5)}$

9010-85-9

OR

$$\left(CH_3\text{-}\underset{\displaystyle CH_3}{\underset{|}{C}}=CH_2 \Big/ CH_2=CH\text{-}\underset{\displaystyle CH_3}{\underset{|}{C}}=CH_2\right)_x \xrightarrow[\text{chlorination}]{ClSO_2Cl\ (7791\text{-}25\text{-}5)}$$

9010-85-9

C. Blown Castor Oil

Comment: Blown castor oil is prepared by reacting castor oil with air or oxygen at 80-130°C. This results in oxidation along with some polymerization.

NAME: Blown castor oil

or

Oxidized castor oil

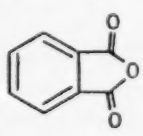
PREPARATION: Castor oil *8001-79-4 $\xrightarrow[80\text{-}130°C]{O_2(7782\text{-}44\text{-}7)}$ oxidation plus some polymerization

D. Linseed oil-phthalic anhydride-glycerol resins

Comment: Linseed oil-phthalic anhydride-glycerol resins should be reported on the basis of their monomeric components as with any polymer.

NAME: Linseed oil-phthalic anhydride-glycerol resin

PREPARATION:

Linseed oil *8001-26-1 +  + $\begin{matrix}CH_2OH\\|\\CHOH\\|\\CH_2OH\end{matrix}$ $\xrightarrow{\text{polymerization}}$

56-81-5

or

Using a specific name and CAS Registry Number for each reactant:

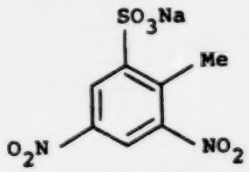
Linseed oil *8001-26-1 + Phthalic anhydride 85-44-9 + Glycerol 56-81-5 $\xrightarrow{\text{polymerization}}$

E. C.I. Sulfur Brown 42

Comment: Sulfur dyes are made by heating organic materials with sulfur and sodium sulfide. The exact compositions of the resulting dyes are usually unknown.

NAME: sulfurized sodium 2-methyl-3,5-dinitrobenzene-sulfonate

PREPARATION:



Na_2S (1313-82-2)
S (7704-34-9)

6274-37-9

F. Anhydrosorbitol monoester of hydrogenated castor oil acids

Comment: While sorbitol is a well defined substance, anhydrosorbitol refers to a combination of cyclic dehydration products and thus is a Class 2 substance. The monoester might be reported as:

NAME: Anhydrosorbitol monoester of hydrogenated castor oil acids

PREPARATION:

Anhydrosorbitol + hydrogenated castor oil acids *61790-39-4 —esterification→ **mono esters**

IMPORTANT: Before completing this form, carefully read the EPA publication "Reporting for the Chemical Substance Inventory, Instructions for Reporting for the Revised Inventory."

Approved OMB Form No. 158 S77011

U. S. ENVIRONMENTAL PROTECTION AGENCY
CHEMICAL SUBSTANCE INVENTORY REPORT

(Section 8(a) and (b) Toxic Substances Control Act 15 USC 2607)

E

FORM NUMBER	FORM NUMBER
0000000 0	0000000 0

DO NOT REMOVE LABEL: .BEL

EPA RECEIPT DATE / MID (EPA USE ONLY)

II. COMPANY NAME/ADDRESS

NAME: XYZ Processor Inc.
ADDRESS: 5678, 2 Street
CITY: Elmira STATE: NY
COUNTY: Mitchell ZIP: 56789

III. TECHNICAL CONTACT NAME / ADDRESS / PHONE

NAME: John Smith
ADDRESS: Doe Chemical Co.
1234, A Street
CITY: Green STATE: NN
ZIP: 12345
PHONE: 765-555-4321

I. CERTIFICATION STATEMENT: I hereby certify that (1) I am eligible to report for the Revised Inventory under 40 CFR Part 710.38(b), and to the best of my knowledge and belief, (2) the chemical substance identified below (a) is eligible for inclusion on the Revised Inventory under 40 CFR 710, and (b) was not manufactured or imported in bulk form for a commercial purpose for the first time after the effective date of pre-manufacture notification requirements for manufacturers of chemical substances and importers of chemical substances in bulk form; (3) all information entered on this form is complete and accurate; and (4) the confidentiality statements on the back of this form are true as to that information for which I have asserted a confidentiality claim. I agree to permit access to, and the copying of, records by a duly authorized representative of the EPA Administrator, in accordance with the Toxic Substances Control Act, to document any information reported here.

Raymond J Johnson — SIGNATURE — Date: 6/1/79

Raymond J. Johnson, V.P., XYZ Processors, Inc. — NAME / TITLE (TYPE OR PRINT)

John Smith — Supplier Signature — Date: 6/8/79

IV. CHEMICAL SUBSTANCE IDENTITY / ACTIVITY / CONFIDENTIALITY

NUMBER	CAS REGISTRY NUMBER (IF KNOWN)	SPECIFIC CHEMICAL NAME (SEPARATE SYNONYMS WITH A SEMI-COLON)	ACTIVITY: PROCESS	ACTIVITY: IMPORT	Confidential Claims: (a) Activity	Confidential Claims: (b) Company	EPA USE ONLY: NUMBER
1		(Glycerin-Maleic anhydride-mustard seed oil) copolymer	✓		✓	✓	1

IN THE SPACE PROVIDED BELOW, PROVIDE STRUCTURAL INFORMATION, MOLECULAR FORMULA, AND OTHER SUPPLEMENTAL INFORMATION TO AID IN THE SPECIFIC IDENTIFICATION OF THE CHEMICAL SUBSTANCE.

MOLECULAR FORMULA

☐ See Attached Supplemental Description Sheets (Write Form Number on all attachments)
No. of Sheets

☑ (c) METHOD OF MANUFACTURE IS CONFIDENTIAL (Circle applicable information and mark it CONFIDENTIAL)

☐ (d) CHEMICAL SUBSTANCE IDENTITY IS CONFIDENTIAL

(1) SUBSTANTIATION:
☐ No. of attached substantiation sheets (write form number on all substantiation sheets)

(2) Proposed Generic Name:

☐ (3) I agree to the terms of CONFIDENTIAL SUBSTANCE IDENTITY STATEMENT on the back of this form

Glycerin + maleic anhydride + mustard seed oil
[56-81-5] [108-31-6] [?]

Glycerin-maleic anhydride-mustard seed oil copolymer

THE ABOVE IS A HYPOTHETICAL EXAMPLE OF A SUPPLIER ASSISTED REPORT. THE SUPPLIER HAS CLAIMED THE METHOD OF MANUFACTURE TO BE CONFIDENTIAL.

Product Name: Doechemitol M3 Resin

EPA 7710-38 (REV. 2/79)

Chapter IV

CONFIDENTIALITY

Any or all of the information that you submit to EPA may be claimed as confidential if it relates to trade secrets or commercial or financial matters that you consider to be confidential. You must make and substantiate your confidentiality claims before you submit the completed forms to EPA. If you fail to do so, EPA may disclose the information without further notice to you.

If you make a claim in the manner specified below, EPA will disclose the information only to the extent, and by means of the procedures, set forth in regulations governing EPA's treatment of confidential business information. These regulations appearing in Part 2 Subpart B of Title 40 of the code of Federal Regulations and also in the FEDERAL REGISTER (41 FR 36906, September 1, 1976; as amended, 43 FR 39997, September 8, 1978), specify the procedures EPA must follow in determining disclosure of confidential information. (Contact EPA's Office of Industry Assistance for a copy of these FEDERAL REGISTER notices.) Among other things, the regulations require that EPA notify you in advance of publicly disclosing any information you have claimed as confidential and substantiated as specified below.

How to Claim Confidentiality: Activity and Company

You must make confidentiality claims in the spaces provided in block IV of te form as illustrated on page 30. By checking any box under the heading "Confidentiality Claims," you are claiming as confidential the particular item of information that corresponds to that box. For example, if you wish to claim as confidential the link between your company and the substance you are reporting, check the box labeled "Company." If you wish to claim as confidential the link between your company and the activity in which your company is engaged with respect to the chemical substance, i.e., processing or importation, check the box labeled "Activity."

Confidentiality claims for "Activity" and "Company" are to be made only by processors or importers completing the form. Suppliers, assisting in form completion, may not make either "Activity" or "Company" confidentiality claims.

Making a claim on one form does not effect the status of information on another form. Therefore, you must make all applicable confidentiality claims on each form you submit.

Substantiating Confidentiality Claims Other Than Chemical Substance Identity

By signing the certification statement appearing on the front of the form you are attesting to the truth of all confidentiality claims you make on the form. This certification statement includes the following phrase:

> I hereby certify that ...(3) the confidentiality statements on the back of this form are true as to that information for which I have asserted a confidentiality claim.

The statements which appear on the back of the form are to substantiate any and all of the claims of confidentiality on the form except for chemical identity. There are four general statements, which apply to all information you have claimed as confidential on the form. Below them are three more statements, each of which applies to a particular confidentiality claim. For each claim of confidentiality you make, you must certify, by signing this form, that all four general statements are true in addition to the statement which corresponds to the particular claim you made on the front of the form.

For, example, in order to substantiate that the link between your company and the reported chemical substance is confidential, you must attest, by signing the certification statement in Block I, to the truth of: (1) all four general statements, and (2) the statement headed "Company", all of which appear on the back of the form. This example also applies to a claim of confidentiality with respect to "Activity" (i.e., "process" or "import") and "Method of Manufacture" (see discussion of the later claim below).

If one or more of the statements is not true for a particular item of information you wish to claim confidential, you may not claim that information as confidential. All applicable statements must be true for each item of information you claim confidential.

Claiming Method of Manufacture Confidential

In many cases, in order to identify a chemical substance with no known CAS Registry Number and whose composition cannot be represented by a definite chemical structure diagram (a Class 2 substance), a processor or importer may need to provide a description of the method used to manufacture the substance, in addition to a specific chemical name for the substance. You may wish to claim the method of manufacture as confidential even though you do not consider the specific chemical name you provide for the substance to be confidential.

If you check the box labeled "Method of Manufacture is Confidential" under the heading "Confidentiality Claims," EPA will hold as confidential that information on the form which relates to the method by which the substance was manufactured. To insure that EPA maintains the correct information as confidential, circle that information and indicate that it be held confidential.

If EPA does not consider the specific chemical name for the substance provided in block IV to be specific enough for inclusion on the Inventory, EPA will select a more specific name for the substance. This name may be based, in part, on the method of manufacture. In such an event, you will be notified of EPA's selection and given an opportunity to claim the identity of the substance as confidential.

If you are assisted in reporting by your supplier, your supplier may claim the method of manufacture as confidential. Refer to the procedures in Chapter I.

Claiming Chemical Substance Identity As Confidential

If you wish to claim the chemical identity of a particular chemical substance as confidential for purposes of the Inventory, check the box in Block IV which is labeled "Chemical Substance Identity is Confidential."

By claiming the chemical identity of a particular chemical substance confidential for purposes of the Inventory, you are asserting that, to the best of your knowledge, the fact that the chemical substance is manufactured, imported, or processed for a commercial purpose by anyone is confidential. This claim must be substantiated in writing, as follows, for each chemical substance whose identity you claim as confidential:

- In accordance with procedures specified below you must prepare a letter and attach it to the form on which you have claimed the chemical identity of a substance as confidential.

- Your letter must include a cross-reference to the specifically numbered form. (The form number appears on the upper left-hand side of the form).

- The letter must be signed by a responsible official with direct knowledge of the information contained in the letter.

- Your letter must address each of the following questions in detail. (To the extent possible, provide factual information or relevant examples to substantiate your claim).

1. What harmful effects to your competitive position, if any, do you think would result from the identity of the chemical substance appearing on the Inventory? How could a competitor use such information, given the fact that the identity of the substance would otherwise appear on the Inventory of chemical substances with no link between the substance and your company or industry? What is the causal relationship between the disclosure and the harmful effects?

2. How long should confidential treatment be given? Until a specific date, the occurrence of a specific event, or permanently? Why?

3. Has the chemical substance been patented? If so, have you granted licenses to others with respect to the patent as it applies to the chemical substance? If the chemical substance has been patented and therefore been disclosed through the patent, why should it be treated as confidential for purposes of the Inventory?

4. Has the identity of the chemical substance been kept confidential to the extent that your competitors do not know it is being manufactured, imported or processed for a commercial purpose by anyone?

5. Is the fact that the chemical substance is being manufactured, imported or processed for a commercial purpose publicly available, for example in technical journals, libraries, or state, local, or federal agency public files?

6. What measures have you taken to prevent undesired disclosure of the fact that this chemical substance is being manufactured, imported or processed for a commercial purpose?

7. To what extent has the fact that this chemical substance is manufactured, imported or processed for a commercial purpose been revealed to others? What precautions have been taken regarding these disclosures? Have there been public disclosures or disclosures to competitors?

8. Does this particular chemical substance leave the processing site in any form, either as product, effluent, emission, etc.? If so, what measures have you taken to guard against discovery of its identity?

9. If the chemical substance leaves the site in a product that is available to the public or your competitors, can the substance be identified by analysis of the product?

10. For what purpose do you process or import the substance? (Not applicable for suppliers completing Block IV.)

11. Has EPA, another federal agency, or any federal court made any pertinent confidentiality determinations regarding this chemical substance? If so, please attach copies of such determinations.

EPA will regard as confidential any information which you furnish in response to the above questions provided it is marked CONFIDENTIAL at the top of each page containing confidential information and it is not otherwise possessed by EPA. EPA will not disclose the information without your consent unless disclosure is ordered by a federal court.

NOTE: In the box provided in Block IV, indicate the number of pages in the attached letter substantiating the claim.

If a processor or importer is assisted in reporting by his supplier, the supplier may claim the identity of the substance as confidential. Refer to the procedures in Chapter II.

Further Information Required on the Form When Identity is Claimed Confidential

A. Confidential Identity and CAS Registry Number (if known)

Even if you claim the chemical identity of the substance reported on the form confidential, you must report the specific identity on the form. Also report the CAS Registry Number if you know it.

B. Proposed Generic Chemical Name

If you claim the chemical identity of a substance confidential, you must furnish EPA with a proposed generic chemical name which is only as generic as necessary to protect the confidential chemical identity. EPA will publish a generic chemical name in an appendix to the Inventory to inform the public of the type of chemical substance which has been claimed confidential. You should adhere to the procedures detailed in the EPA document "Guidelines for Creating Proposed Generic Names for Confidential Chemical Substances Identities for the TSCA Inventory," which may be obtained from EPA's Industry Assistance Office (see Chapter I, page 11). EPA will review your proposed generic chemical name in accordance with these guidelines and section 710.7(f) of the Inventory regulations, and may ask you to submit other proposed names. If you fail to provide a proposed generic chemical name for your chemical substance, EPA will consider this a waiver of your claim of confidentiality and will publish the chemical identity of the substance on the Inventory.

C. Agreement to EPA Disclosure to Bona Fide Manufacturer

If you claim the chemical identity of a substance confidential, you must agree to the statement appearing on the back of the form which authorizes EPA to disclose the fact that the chemical substance is included on the Inventory to a person with a bona fide intent to manufacture the chemical substance. In addition, you agree that you have and will make available upon request, the data specified in section 710.7(e) of the inventory reporting regulations. If you fail to agree to this statement, EPA will consider this a waiver of your claim of confidentiality and will publish the chemical identity of the substance on the Inventory.

IMPORTANT: Before completing this form, carefully read the EPA publication "Reporting for the Chemical Substance Inventory, Instructions for Reporting for the Revised Inventory."

Approved OMB Form No. 158 S 77011

U.S. ENVIRONMENTAL PROTECTION AGENCY
CHEMICAL SUBSTANCE INVENTORY REPORT

(Section 8(a) and (b) Toxic Substances Control Act 15 USC 2607)

E

FORM NUMBER	FORM NUMBER
0000000 0	0000000 0

DO NOT REMOVE LABEL

MID (EPA USE ONLY)

II. COMPANY NAME/ADDRESS

NAME: X,Y,Z Processors, Inc.
ADDRESS: 5,6,7,8 Z. Street
CITY: Elmira STATE: AL
COUNTY: Mitchell ZIP: 56789

III. TECHNICAL CONTACT NAME / ADDRESS / PHONE

NAME: A.B. Collins
ADDRESS: X,Y,Z Processors, Inc.
5678 Z Street
CITY: Elmira STATE: A,L ZIP: 5,6,7,8,9
PHONE: 505-234-5432

EPA RECEIPT DATE

I. CERTIFICATION STATEMENT: I hereby certify that (1) I am eligible to report for the Revised Inventory under 40 CFR Part 710.38(b), and to the best of my knowledge and belief, (2) the chemical substance identified below (a) is eligible for inclusion on the Revised Inventory under 40 CFR 710, and (b) was not manufactured or imported in bulk form for a commercial purpose for the first time after the effective date of pre-manufacture notification requirements for manufacturers of chemical substances and importers of chemical substances in bulk form; (3) all information entered on this form is complete and accurate; and (4) the confidentiality statements on the back of this form are true as to that information for which I have asserted a confidentiality claim. I agree to permit access to, and the copying of, records by a duly authorized representative of the EPA Administrator, in accordance with the Toxic Substances Control Act, to document any information reported here.

SIGNATURE: Raymond J. Johnson Date: 6/1/79

NAME / TITLE (TYPE OR PRINT): Raymond J. Johnson/Vice President

Supplier Signature ____ Date ____

IV. CHEMICAL SUBSTANCE IDENTITY / ACTIVITY / CONFIDENTIALITY

NUMBER	CAS REGISTRY NUMBER (IF KNOWN)	SPECIFIC CHEMICAL NAME (SEPARATE SYNONYMS WITH A SEMI-COLON)	ACTIVITY: PROCESS	ACTIVITY: IMPORT	Confidential Claims: (a) Activity	Confidential Claims: (b) Company	EPA USE ONLY NUMBER
1		2,2,3,3,4,4,5,5,6,6,6-undecafluoro-N,N-bis-(2-hydroxyethyl) hexanamide	✓				1

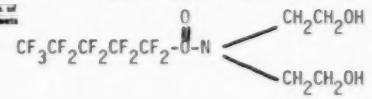
IN THE SPACE PROVIDED BELOW, PROVIDE STRUCTURAL INFORMATION, MOLECULAR FORMULA, AND OTHER SUPPLEMENTAL INFORMATION TO AID IN THE SPECIFIC IDENTIFICATION OF THE CHEMICAL SUBSTANCE.

$C_{10}H_{10}F_{11}NO_3$

MOLECULAR FORMULA

☐ See Attached Supplemental Description Sheets (Write Form Number on all attachments)

No. of Sheets



(c) ☐ METHOD OF MANUFACTURE IS CONFIDENTIAL (Circle applicable information and mark it CONFIDENTIAL)

(d) ✓ CHEMICAL SUBSTANCE IDENTITY IS CONFIDENTIAL

(1) SUBSTANTIATION:

☐ No. of attached substantiation sheets (write form number on all substantiation sheets)

(2) Proposed Generic Name:

polyfluoro-N,N-bis(2-hydroxyethyl) hexanamide

☐ (3) I agree to the terms of CONFIDENTIAL SUBSTANCE IDENTITY STATEMENT on the back of this form

THE ABOVE IS AN EXAMPLE OF A PROCESSOR CLAIMING THE CHEMICAL SUBSTANCE IDENTITY TO BE CONFIDENTIAL.

EPA 7710-3E (REV. 2/79)

APPENDIX 1

Inventory Reporting Regulations
(40 CFR 710)

istrator to require reporting of information necessary for administration of the Act and requires EPA to issue regulations for the purpose of compiling an inventory of chemical substances manufactured or processed for a commercial purpose, as required by section 8(b) of the Act. Following an initial reporting period, EPA will publish an initial inventory of chemical substances manufactured or imported for commercial purposes. After a supplemental reporting period, EPA will publish a revised inventory including those additional chemical substances processed or used for commercial purposes or imported for commercial purposes as a part of a mixture or article. Further, in accordance with section 8(b), EPA periodically will amend the inventory to include new chemical substances which are manufactured or imported for a commercial purpose and reported under section 5(a)(1) of the Act. EPA also will revise the categories of chemical substances and make other amendments as appropriate.

(b) Section 15(3) of TSCA makes it unlawful for any person to fail or refuse to submit information required under these reporting regulations. In addition, section 15(3) makes it unlawful for any person to fail to keep, and permit access to, records required by these regulations. Section 16 provides that any person who violates a provision of section 15 is liable to the United States for a civil penalty and may be criminally prosecuted. Pursuant to section 17, the Government may seek judicial relief to compel submission of section 8(a) information and to otherwise restrain any violation of section 15.

NOTE.—As a matter of traditional Agency policy, EPA does not intend to concentrate its enforcement efforts on insignificant clerical errors in reporting.

(c) Each person who reports under these regulations shall maintain records that document information reported under these regulations and, in accordance with the Act, permit access to, and the copying of such records by EPA officials.

§ 710.2 Definitions.

For the purposes of this Part: (a) The following terms shall have the meaning contained in the Federal Food, Drug, and Cosmetic Act, 21 U.S.C. 321 et seq., and the regulations issued under such Act: "cosmetic," "device," "drug," "food," and "food additive." In addition, the term "food" includes poultry and poultry products, as defined in the Poultry Products Inspection Act, 21 U.S.C. 453 et seq.; meats and meat food products, as defined in the Federal Meat Inspection Act, 21 U.S.C. 60 et seq.; and eggs and egg products, as defined in the Egg Products Inspection Act, 21 U.S.C. 1033 et seq.

(b) The term "pesticide" shall have the meaning contained in the Federal Insecticide, Fungicide, and Rodenticide Act, 7 U.S.C. 136 et seq., and the regulations issued thereunder.

(c) The following terms shall have the meaning contained in the Atomic Energy Act of 1954, 42 U.S.C. 2014 et seq., and the regulations issued thereunder: "by-product material," "source material," and "special nuclear material."

(d) "Act" means the Toxic Substances Control Act, 15 U.S.C. 2601 et seq.

(e) "Administrator" means the Administrator of the U.S. Environmental Protection Agency, any employee or authorized representative of the Agency to whom the Administrator may either herein or by order delegate his authority to carry out his functions, or any other person who shall by operation of law be authorized to carry out such functions.

(f) An "article" is a manufactured item (1) which is formed to a specific shape or design during manufacture, (2) which has end use function(s) dependent in whole or in part upon its shape or design during end use, and (3) which has either no change of chemical composition during its end use or only those changes of composition which have no commercial purpose separate from that of the article and that may occur as described in § 710.4 (d)(5); except that fluids and particles are not considered articles regardless of shape or design.

(g) "Byproduct" means a chemical substance produced without separate commercial intent during the manufacture or processing of another chemical substance(s) or mixture(s).

(h) "Chemical substance" means any organic or inorganic substance of a particular molecular identity, including any combination of such substances occurring in whole or in part as a result of a chemical reaction or occurring in nature, and any chemical element or uncombined radical; except that "chemical substance" does *not* include:

(1) Any mixture,

(2) Any pesticide when manufactured, processed, or distributed in commerce for use as a pesticide,

(3) Tobacco or any tobacco product, but not including any derivative products,

(4) Any source material, special nuclear material, or byproduct material,

(5) Any pistol, firearm, revolver, shells, and cartridges, and

(6) Any food, food additive, drug, cosmetic, or device, when manufactured, processed, or distributed in commerce for use as a food, food additive, drug, cosmetic, or device.

(i) "Commerce" means trade, traffic, transportation, or other commerce (1) between a place in a State and any place outside of such State, or (2) which affects trade, traffic, transportation, or commerce described in clause (1).

(j) "Distribute in commerce" and "distribution in commerce" when used to describe an action taken with respect to a chemical substance or mixture or article containing a substance or mixture, mean to sell or the sale of, the substance, mixture, or article in commerce; to introduce or deliver for introduction into commerce, or the introduction or delivery for introduction into commerce of, the substance, mixture, or article; or to hold, or the holding of, the substance, mixture, or article after its introduction into commerce.

Part 710 is established to read as follows:

Sec.
710.1 Scope and compliance.
710.2 Definitions.
710.3 Applicability; Reporting for the initial and revised inventory.
710.4 Scope of the inventory.
710.5 How to report for the inventory.
710.6 When to report.
710.7 Confidentiality.
710.8 Effective date.

AUTHORITY: Subsection 8(a), Toxic Substances Control Act (TSCA) (90 Stat. 2003, (15 U.S.C. 2607(a))).

§ 710.1 Scope and compliance.

(a) This Part establishes regulations governing reporting by certain persons who manufacture, import, or process chemical subsances for commercial purposes under section 8(a) of the Toxic Substances Control Act (15 U.S.C. 2607 (a)). Section 8(a) authorizes the Admin-

Reproduced from best available copy.

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(k) "EPA" means the U.S. Environmental Protection Agency.

(l) "Importer" means any person who imports any chemical substance or any chemical substance as part of a mixture or article into the customs territory of the U.S. and includes: (1) The person primarily liable for the payment of any duties on the merchandise, or (2) an authorized agent acting on his behalf (as defined in 19 CFR 1.11).

(m) "Impurity" means a chemical substance which is unintentionally present with another chemical substance.

(n) "Intermediate" means any chemical substance (1) which is intentionally removed from the equipment in which it is manufactured, and (2) which either is consumed in whole or in part in chemical reaction(s) used for the intentional manufacture of other chemical substance(s) or mixture(s), or is intentionally present for the purpose of altering the rate of such chemical reaction(s).

NOTE.—The "equipment in which it was manufactured" includes the reaction vessel in which the chemical substance was manufactured and other equipment which is strictly ancillary to the reaction vessel, and any other equipment through which the chemical substance may flow during a continuous flow process, but does not include tanks or other vessels in which the chemical substance is stored after its manufacture.

(o) "Manufacture" means to produce or manufacture in the United States or import into the customs territory of the United States.

(p) "Manufacture or import *'for commercial purposes'*" means to manufacture or import:

(1) For distribution in commerce, including for test marketing purposes, or

(2) For use by the manufacturer, including for use as an intermediate.

(q) "Mixture" means any combination of two or more chemical substances if the combination does not occur in nature and is not, in whole or in part, the result of a chemical reaction; except that "mixture" does include (1) any combination which occurs, in whole or in part, as a result of a chemical reaction if the combination could have been manufactured for commercial purposes without a chemical reaction at the time the chemical substances comprising the combination were combined and if, after the effective date of premanufacture notification requirements, none of the chemical substances comprising the combination is a new chemical substance, and (2) hydrates of a chemical substance or hydrated ions formed by association of a chemical substance with water.

(r) "New chemical substance" means any chemical substance which is not included in the inventory compiled and published under subsection 8(b) of the Act.

(s) "Person" means any natural or juridicial person including any individual, corporation, partnership, or association, any State or political subdivision thereof, or any municipality, any interstate body and any department, agency, or instrumentality of the Federal government.

(t) "Process" means the preparation of a chemical substance or mixture, after its manufacture, for distribution in commerce (1) in the same form or physical state as, or in a different form or physical state from, that in which it was received by the person so preparing such substance or mixture, or (2) as part of a mixture or article containing the chemical substance or mixture.

(u) "Process for 'commercial purposes'" means to process (1) for distribution in commerce, including for test marketing purposes, or (2) for use as an intermediate.

(v) "Processor" means any person who processes a chemical substance or mixture.

(w) "Site" means a contiguous property unit. Property divided only by a public right-of-way shall be considered one site. There may be more than one manufacturing plant on a single site. For the purposes of imported chemical substances, the site shall be the business address of the importer.

(x) "Small manufacturer or importer" means a manufacturer or importer whose total annual sales are less than $5,000,000, based upon the manufacturer's or importer's latest complete fiscal year as of January 1, 1978, except that no manufacturer or importer is a "small manufacturer or importer" with respect to any chemical substance which such person manufactured at one site or imported in quantities greater than 100,000 pounds during calendar year 1977. In the case of a company which is owned or controlled by another company, total annual sales shall be based on the total annual sales of the owned or controlled company, the parent company, and all companies owned or controlled by the parent company taken together.

NOTE.—The purpose of the exception to the definition is to ensure that manufacturers and importers report production volumes for all chemical substances which they manufactured at one site or imported in quantities equal to or greater than 100,000 pounds during calendar year 1977.

(y) "Small quantities for purposes of scientific experimentation or analysis or chemical research on, or analysis of, such substance or another substance, including any such research or analysis for the development of a product" (hereinafter sometimes shortened to "small quantities for research and development") means quantities of a chemical substance manufactured, imported, or processed or proposed to be manufactured, imported, or processed that (1) are no greater than reasonably necessary for such purposes and (2) after the publication of the revised inventory, are used by, or directly under the supervision of, a technically qualified individual(s).

NOTE.—Any chemical substances manufactured, imported or processed in quantities of less than 1,000 pounds annually shall be presumed to be manufactured, imported, or processed for research and development purposes. No person may report for the inventory any chemical substance in such quantities unless that person can certify that the substance was not manufactured, imported, or processed solely in small quantities for research and development, as defined in this section.

(z) "State" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, or any other territory or possession of the United States.

(aa) "Technically qualified individual" means a person (1) who because of his education, training, or experience, or a combination of these factors, is capable of appreciating the health and environmental risks associated with the chemical substance which is used under his supervision, (2) who is responsible for enforcing appropriated methods of conducting scientific experimentation, analysis, or chemical research in order to minimize such risks, and (3) who is responsibile for the safety assessments and clearances related to the procurement, storage, use, and disposal of the chemical substance as may be appropriate or required within the scope of conducting the research and development activity. The responsibilities in clause (3) of this paragraph may be delegated to another individual, or other individuals, as long as each meets the criteria in clause (1) of this paragraph.

(bb) "Test marketing" means the distribution in commerce of no more than a predetermined amount of a chemical substance, mixture, or article containing that chemical substance or mixture, by a manufacturer or processor to no more than a defined number of potential customers to explore market capability in a competitive situation during a predetermined testing period prior to the broader distribution of that chemical substance, mixture or article in commerce.

(cc) "United States," when used in the geographic sense, means all of the States, territories, and possessions of the United States.

§ 710.3 Applicability: Reporting for the initial inventory and revised inventory: Who must report; who should report.

Based on reports from manufacturers and some importers of chemical substances, EPA will compile an initial inventory of chemical substances manufactured for commercial purposes. Paragraph (a) of this section identifies who must report for this initial inventory and who should report. After publication of the initial inventory, EPA will compile a revised inventory of chemical substances manufactured or processed for a commercial purpose based on reports from processors of chemical substances, and from importers of chemical substances as a part of mixtures or articles. Paragraph (b) of this section identifies who may report for this revised inventory. Paragraph (c) of this section identifies

the persons not subject to the initial inventory.

(a) *The initial inventory*—(1) *Domestic manufacturers who must report concerning chemical substances.* Any person who manufactured a chemical substance(s) in the United States for a commercial purpose during calendar year 1977 must report concerning:

(i) All chemical substances which that person manufactured in the United States during calendar year 1977 at each site for which:

(A) Thirty percent or more of the weight of the products distributed from that site consists of products of the types described under Standard Industrial Classification (SIC) Group 28 or 2911, or

(B) The total pounds of reportable chemical substances manufactured at that site equals one million pounds or more; and

(ii) Any chemical substance not reported under paragraph (a)(1)(i) of this section that was manufactured at a site during calendar year 1977 in quantities equal to or greater than 100,000 pounds.

NOTE.—Any person who is a "small manufacturer," as defined in § 710.2, and who has more than one site, is exempt from separately reporting the chemical substances manufactured at each site.

(2) *Importers who must report concerning chemical substances.* Any person who imported a chemical substance into the United States for a commercial purpose during calendar year 1977 must report concerning:

(i) All chemical substances which that person imported into the United States during calendar year 1977 if:

(A) Thirty percent or more of the weight of the products imported consists of products of the types described under Standard Industrial Classification (SIC) Group 28 or 2911, or

(B) The total pounds of reportable chemical substances imported equals one million pounds or more; and

(ii) Any chemical substance not reported under paragraph (a)(2)(i) of this section that was imported during calendar year 1977 in quantities equal to or greater than 100,000 pounds.

NOTE.—These reporting requirements include all chemical substances imported in bulk form, including in cans, bottles, drums, barrels, packages, tanks, bags and other containers, but do not include chemical substances imported as part of mixtures or articles.

(3) *Other manufacturers and importers who should report chemical substances.* (i) In order to ensure that a chemical substance is included in the initial inventory, any person who manufactures or imports, or who has manufactured or imported a chemical substance (including the importation of a chemical substance as part of a mixture or an article) for a commercial purpose since January 1, 1975, may report concerning that chemical substance.

(ii) Any person permitted to report under paragraph (a)(3) of this section may either report individually or, in accordance with § 710.5(f), authorize a trade association or other agent to report on his behalf.

(b) *Revised inventory.* (1) During the reporting period for the revised inventory (§ 710.6(c)), a person may report concerning a chemical substance which was not included in the initial inventory if:

(i) The person has processed or used the chemical substance (including use in the manufacture of a mixture or article containing that chemical substance) for a commercial purpose since January 1, 1975; or

(ii) The person has imported the chemical substance as part of a mixture or article for a commercial purpose since January 1, 1975.

(2) Any person permitted to report under paragraph (b) of this section either may report individually or, in accordance with § 710.5(f), may authorize a trade association or other agent to report on his behalf.

NOTE.—The premanufacture notification requirements of section 5(a)(1)(A) of the Act for manufacturers of new chemical substances and importers of new chemical substances in bulk will begin 30 days after the publication of the initial inventory and will apply to all chemical substances not included in the initial inventory. The premanufacture notification requirements of section 5(a)(1)(A) will not be applied to importers of chemical substances as part of a mixture until 30 days after publication of the revised inventory. In addition, section 15(2) of the Act as it relates to section 5(a)(1)(A) will not be applied to persons who process or use for a commercial purpose chemical substances not on the inventory until after publication of the revised inventory.

(c) *Persons not subject to the initial inventory.* Persons who have only processed or used a chemical substance for a commercial purpose are not subject to the initial inventory requirements.

§ 710.4 Scope of the inventory.

(a) *Chemical substances subject to these regulations.* Only chemical substances which are manufactured, imported, or processed "for a commercial purpose," as defined in § 710.2, are subject to these regulations.

(b) *Naturally occurring chemical substances automatically included.* Any chemical substance which is naturally occurring and (1) which is (i) unprocessed or (ii) processed only by manual, mechanical, or gravitational means; by dissolution in water; by flotation; or by heating solely to remove water; or

(2) which is extracted from air by any means, shall automatically be included in the inventory under the category "Naturally Occurring Chemical Substances." Examples of such substances are: raw agricultural commodities; water, air, natural gas, and crude oil; and rocks, ores, and minerals.

(c) *Substances excluded by definition or section 8 (b) of TSCA.* The following substances are excluded from the inventory:

(1) Any substance which is not considered a "chemical substance" as provided in subsection 3(2)(B) of the Act and in the definition of "chemical substance" in § 710.2(h);

(2) Any mixture as defined in § 710.2 (q);

NOTE.—A chemical substance that is manufactured as part of a mixture is subject to these reporting regulations. This exclusion applies only to the mixture and not to the chemical substances of which the mixture is comprised. The term "mixture" includes alloys, inorganic glasses, ceramics, frits, and cements, including Portland cement.

(3) Any chemical substance which is manufactured, imported, or processed solely in small quantities for research and development, as defined in § 710.2 (y); and

(4) Any chemical substance not manufactured, processed or imported for a commercial purpose since January 1, 1975.

(d) *Chemical substances excluded from the inventory.* The following chemical substances are excluded from the inventory. Although they are considered to be manufactured or processed for a commercial purpose for the purpose of section 8 of the Act, they are not manufactured or processed for distribution in commerce as chemical substances *per se* and have no commercial purpose separate from the substance, mixture, or article of which they may be a part.

NOTE.—In addition, chemical substances excluded here will not be subject to premanufacture notification under section 5 of the Act.

(1) Any impurity.

(2) Any byproduct which has no commercial purpose.

NOTE.—A byproduct which has commercial value only to municipal or private organizations who (i) burn it as a fuel, (ii) dispose of it as a waste, including in a landfill or for enriching soil, or (iii) extract component chemical substances which have commercial value, may be reported for the inventory, but will not be subject to premanufacturing notification under section 5 of the Act if not included.

(3) Any chemical substance which results from a chemical reaction that occurs incidental to exposure of another chemical substance, mixture, or article to environmental factors such as air, moisture, microbial organisms, or sunlight.

(4) Any chemical substance which results from a chemical reaction that occurs incidental to storage of another chemical substance, mixture, or article.

(5) Any chemical substance which results from a chemical reaction that occurs upon end use of other chemical substances, mixtures, or articles such as adhesives, paints, miscellaneous cleansers or other housekeeping products, fuels and fuel additives, water softening and treatment agents, photographic, films, batteries, matches, and safety flares, and which is not itself manufactured for distribution in commerce or for use as an intermediate.

(6) Any chemical substance which results from a chemical reaction that occurs upon use of curable plastic or rubber molding compounds, inks, drying oils, metal finishing compounds, adhesives, or paints; or other chemical

substances formed during manufacture of an article destined for the marketplace without further chemical change of the chemical substance except for those chemical changes that may occur as described elsewhere in this § 710.4(d).

(7) Any chemical substance which results from a chemical reaction that occurs when (i) a stabilizer, colorant, odorant, antioxidant, filler, solvent, carrier, surfactant, plasticizer, corrosion inhibitor, antifoamer or de-foamer, dispersant, precipitation inhibitor, binder, emulsifier, de-emulsifier, dewatering agent, agglomerating agent, adhesion promoter, flow modifier, pH neutralizer, sequesterant, coagulant, flocculant, fire retardant, lubricant, chelating agent, or quality control reagent functions as intended or (ii) a chemical substance, solely intended to impart a specific physicochemical characteristic, functions as intended.

(8) Chemical substances which are not intentionally removed from the equipment in which they were manufactured.

NOTE.—See note to definition of "intermediate" at § 710.2(n) for explanation of "equipment in which it was manufactured."

§ 710.5 How to report.

(a) *General instructions.* (1) Except for small manufacturers or small importers, any person who is required to report under § 710.3(a) (1) or (2) shall follow the reporting procedures of paragraphs (b), (c), and (d) of this section.

(2) Any person who reports under §710.3(a)(3) shall follow the reporting procedures of paragraphs (b), (c), (d) (1) and (d)(3) of this section. In addition, the Agency encourages these persons to report in accordance with paragraphs (d)(2) and (d)(4) of this section. A trade association or other agent may report aggregated production data under paragraph (a)(4) of this section.

(3) Any person who is required to report under § 710.3(a) (1) or (2) and who is a small manufacturer or small importer as defined in § 710.2 shall follow the reporting procedures of paragraphs (b), (c), and (d) (1) and (3) of this section except that such person is exempt from reporting production volume (for quantities less than 100,000 pounds) and site information.

(4) Any person who reports under section 710.3(b) shall follow the reporting procedures of paragraphs (b), (c), and (d)(1) of this section.

(b) *Reporting the identity of a chemical susbtance.* (1) Any person reporting under these regulations should first read and carefully follow the reporting instructions, "Reporting for the Chemical Substance Inventory," published by and available through EPA.

(2) To report a chemical substance, a person should first consult the TSCA Candidate List of Chemical Substances and any amendment to the Candidate List. For assistance in using the Candidate List, consult the "Guide to the Use of the TSCA Candidate List of Chemical Substances."

(3) All persons required to report except "small manufacturers and importers" must use a separate Form A, B, or C to report chemical substances for each site. Small manufacturers and importers may report several chemical substances manufactured at different sites on one form, as appropriate.

(4) To report a chemical substance found in the Candidate List, or in an amendment to the list, a person must complete, sign, and submit EPA inventory report Form A (EPA Form No. 7710–3A). All forms, A through D, have OMB No. 1585 77011.

(5) To report a chemical substance not found in the Candidate List, or in an amendment to the list, but for which there is a Chemical Abstracts Service (CAS) Registry Number, a person must complete, sign and submit EPA inventory report Form B (EPA Form No. 7710–3B).

(6) To report a chemical substance which is not found in the Candidate List, or in an amendment to the list, and for which there is no known CAS Registry Number, a person must complete, sign, and submit EPA inventory report Form C (EPA Form No. 7710–3C). Persons must describe chemical substances on Form C as specifically as possible, in accordance with the instructions published by EPA, "Reporting for the Chemical Substance Inventory."

(7) To report a chemical substance whose chemical identity is claimed to be confidential, a person must complete, sign, and submit EPA inventory report Form C (EPA Form No. 7710–3C). In addition, he must substantiate the cl: that the chemical identity is confidential at the time he submits the form to EPA, in accordance with instructions published in "Reporting for the TSCA Inventory" and section 710.7.

NOTE.—The reporting instructions also describe a reporting Form D (EPA Form No. 7710–3D). This is for additional voluntary reports which may be submitted by any person who manufactures trademarked products comprised of chemical substances and is not a substitute for any of the reports required by these regulations.

(c) *Reporting polymers.* (1) To report a polymer a person must list in the description of the polymer composition at least those monomers used at greater than two percent (by weight) in the manufacture of the polymer.

(2) Those monomers used at two percent (by weight) or less in the manufacture of the polymer may be included as part of the description of the polymer composition.

NOTE.—The "percent (by weight)" of a monomer is the weight of the monomer expressed as a percentage of the weight of the polymeric chemical substance manufactured.

(d) *Reporting other information concerning a chemical substance.* (1) For purposes of the initial inventory, designate whether the person manufactures and/or imports the chemical substance. For purposes of the revised inventory, designate whether the person processes and/or imports the chemical substance.

(2) Report the site(s) at which the person manufactures and/or imports the chemical substance. The site, as defined in § 710.2(w), for importers is their business address.

(3) Designate whether the person manufactures and processes the chemical substances only within a site *and* does not distribute the chemical substance, or any mixture or article containing that substance, for commercial purposes outside that site.

NOTE.—This requirement does not apply to importers.

(4) Report the amount of the chemical substance which the person manufactured at each site and/or imported during calendar year 1977. For each substance, report the digit (e.g., 0 through 9) which corresponds to the appropriate volume range, according to the following table. Enter "N" in the space provided for production amounts if the person did not manufacture or import the substance during calendar year 1977. Small manufacturers or importers, as defined in § 710.2(x), should enter "X" in the space provided for production amounts of less than 100,000 pounds (45,400 kilograms). If a small manufacturer or importer reports these production amounts that person shall enter both "X" and the appropriate digits (e.g., X0, X1, or X2). For other production ranges, do not include an "X" (e.g., 3 through 9). Trade associations or other agents should enter "A" in the space provided for production amounts. If trade associations or agents report production volumes, they should enter both "A" and the appropriate digits (e.g., A2 or A6).

(0) Less than 1,000 pounds; Less than 454 kilograms.

(1) 1,000 to 10,000 pounds; 454 to 4,540 kilograms.

(2) 10,000 to 100,000 pounds; 4,540 to 45,400 kilograms.

(3) 100,000 to 1 million pounds; 45,400 to 454,000 kilograms.

(4) 1 million to 10 million pounds; 454,000 to 4.54 million kilograms.

(5) 10 million to 50 million pounds; 4.54 million to 22.7 million kilograms.

(6) 50 million to 100 million pounds; 22.7 million to 45.4 million kilograms.

(7) 100 million to 500 million pounds; 45.4 million to 227 million kilograms.

(8) 500 million to 1 billion pounds; 227 million to 454 million kilograms.

(9) over 1 billion pounds; over 454 million kilograms.

(A) Trade associations or other agents.

(e) *Importers.* (1) Any importer who reports a chemical substance for the inventory may authorize the foreign supplier of the imported chemical substance(s) to report to EPA on his behalf, if both the foreign supplier and the importer sign the declarations provided on the reporting forms. A foreign supplier may authorize an agent to act in his behalf.

(2) The importer has the ultimate responsibility for reporting all information required by this Part and for the completeness and truthfulness of such information. If certain information is not or cannot be provided by the foreign supplier or his duly authorized agent, it must be provided by the importer.

(f) *Trade associations or other agents.* (1) A trade association or other agent may report on behalf of any person who is not required to report for the initial inventory under § 710.3 (a)(1) and (a)(2). Accordingly, a trade association or other agent may report on behalf of a manufacturer or importer of a chemical substance who chooses to report under § 710.3(a)(3), or any processor or user of a chemical substance, or any importer of a chemical substance as part of a mixture or an article who chooses to report under § 710.3(b).

(2) For every chemical substance reported by a trade association or other agent under this section, at least one manufacturer, importer or processor must have certified to that agent, and be able to document to EPA, in accordance with § 710.1(c), that the chemical substance was manufactured, imported, or processed for a commercial purpose since January 1, 1975.

§ 710.6 When to report.

(a) All reports for the initial inventory shall be submitted by May 1, 1978.

(b) All reports concerning chemical substances which are manufactured or imported for a commercial purpose for the first time during the period from May 1, 1978 to the effective date of premanufacture notification requirements shall be submitted when such manufacturing or importation begins.

(c) All reports for the revised inventory shall be submitted within 210 days after publication of the initial inventory.

§ 710.7 Confidentiality.

(a) A manufacturer, importer, or processor may claim that for a particular chemical substance any or all of the following items of information submitted under this Part are entitled to confidential treatment:

(1) Company name.

(2) Site.

(3) The specific chemical identity.

(4) Whether the chemical substance is manufactured, imported, or processed.

(5) Whether the chemical substance is manufactured and processed only within one site and not distributed for commercial purposes outside that site.

(6) The quantity manufactured, imported, or processed.

(b) Any claims of confidentiality must accompany the information at the time it is submitted to EPA. The claims must appear on the form on which the information is submitted to EPA and in the manner prescribed on the form. In addition, any claims of confidentiality must be substantiated at the time the information is submitted to EPA in the manner specified in the form instructions.

(c) Any information that is covered by a claim made as specified will be disclosed by EPA only to the extent permitted by, and by means of, the procedures set forth in this section and in Part 2 of this Title (41 FR 36902).

(d) If no claim accompanies information at the time it is submitted to EPA, the information may be made public by EPA without further notice to the submitter. Failure to provide substantiation of any claim asserted on the forms will be considered a waiver of the claim and will result in a determination that the information is not entitled to confidential treatment.

(e)(1) A claim of confidentiality may be asserted concerning the specific chemical identity of a particular chemical substance. This claim may be asserted by any submitter who believes that inclusion of the specific chemical identity on the inventory would reveal the trade secret fact that the particular chemical substance is manufactured or processed for commercial purposes.

(2) If a submitter asserts such a claim the submitter must

(i) Report the specific chemical identity,

(ii) Propose a generic chemical name which is only as generic as necessary to protect the confidential identity of the particular chemical substance,

(iii) Provide a detailed, written substantiation of the claim as specified in the reporting instructions,

(iv) Agree that EPA may disclose to a person with a *bona fide* intent to manufacture the substance (as defined in paragraph (g) of this section) the fact that the particular chemical substance is included in the inventory for purposes of TSCA section 5(a)(1)(A) premanufacture notification, and

(v) Have available, and agree to furnish to EPA upon request, for the particular chemical substance, either an X-ray diffraction pattern (in the case of inorganic substances) or a mass spectrum for the particular chemical substance (in the case of most other substances), a sample of the substance in its purest form, an elemental analysis, any additional or alternative spectra, or other data that may be required to resolve uncertainties with respect to the identity of the substance. Failure to meet any of these five requirements will be considered a waiver of the claim and will result in inclusion of the particular chemical identity on the inventory.

(f)(1) If a submitter asserts that the identity of a particular chemical substance should not be included on the inventory, the submitter has met the five requirements specified in paragraph (e) of this section, and the EPA General Counsel has made a determination, in accordance with Part 2 of this Title that the particular chemical identity should not appear on the inventory because inclusion would disclose a trade secret, EPA will publish a generic chemical name in an appendix to the inventory rather than place the specific chemical identity on the inventory. Publication of a generic name in the appendix does *not* create a category for purposes of the inventory. Any person proposing to manufacture a substance included in the appendix under a generic name must submit notice under section 5(a)(1)(A) of the Act unless specifically exempted by EPA (see paragraph (g) of this section).

(2) EPA will examine the generic chemical name proposed by the submitter claiming confidentiality.

(i) If EPA determines that the generic name proposed by the submitter asserting the claim is only as generic as necessary to protect the confidential identity of the particular chemical substance, EPA will place that generic name on the inventory.

(ii) If EPA determines that the generic name proposed by the submitter asserting the claim is more generic than necessary to protect the confidential identity, EPA will ask the submitter to submit further proposed generic names.

(iii) If EPA does not agree with the further proposed generic names, EPA will choose a generic name that EPA determines is only as generic as necessary to protect the confidential identity. EPA will give 30 days notice of this choice to the submitter asserting the claim. After the end of the 30-day period EPA will place the chosen generic name on the inventory.

(g)(1) If the particular chemical substance a person is proposing to manufacture is not included on the inventory by specific name but does fall within one of the generic chemical names in the appendix entitled "Confidential Identities," the person may ask EPA whether the specific substance is included on the inventory. EPA will answer such an inquiry only if EPA determines that the person has a *bona fide* intent to manufacture the substance.

(2) In order to establish a *bona fide* intent to manufacture the specific chemical substance the person proposing to manufacture the chemical substance must submit to EPA:

(i) A signed statement that that person intends to manufacture the substance for commercial purposes,

(ii) A description of the research and development activities he has conducted to date and the purposes for which the substance will be manufactured,

(iii) An elemental analysis,

(iv) Either an X-ray diffraction pattern (in the case of inorganic substances) or a mass spectrum (in the case of most other substances) of the particular chemical substance,

(v) A sample of the substance in its purest form, if requested, and

(vi) Any additional or alternative spectra, or other data that may be required to resolve uncertainities with respect to the identity of the chemical substance.

(3) (i) Upon receipt of the information specified in paragraph (g)(2) of this section, EPA may require the submitter who asserted the confidentiality claim for a specific chemical substance within the generic name to submit to EPA:

(A) Either an X-ray diffraction pattern or a mass or alternative spectrum for the substance,

(B) An elemental analysis of the substance,

(C) A sample of the substance in its purest form, if requested, and

(D) Any additional spectral or other data that may be required to resolve un-

certainties with respect to the identity of the substance.

(ii) Failure to submit any of the information required by EPA under this pargraph (g)(3) will be construed as a waiver of the submitter's confidentiality claim, and EPA will place the specific chemical identity on the inventory without further notice to the submitter.

(4) EPA will compare the information submitted by the proposed manufacturer under paragraph (g)(2) of this section with the information submitted under paragraph (g)(3) of this section.

(5) If (i) the comparison of the elemental analyses and either the X-ray diffraction patterns or mass or alternative spectra is sufficiently similar to be consistent with a presumption that the chemical substances are the same, and (ii) comparison of any of the other submitted information affirms this presumption, EPA will tell the person proposing to manufacture the particular chemical substance that the particular chemical substance is included on the inventory and, therefore, that premanufacture notification is not required.

(6) If (i) the comparison of either the X-ray diffraction patterns or the mass or alternative spectra is not sufficiently similar to be consistent with a presumption that the chemical substances are the same, and (ii) comparison of the other information affirms this conclusion, EPA will tell the person proposing to manufacture the particular substance that the information submitted does not support a conclusion that the substance is included on the inventory, and, therefore, that premanufacture notification is required.

(7) A disclosure to a person with a *bona fide* intent to manufacture a particular chemical substance will not be considered a public disclosure.

§ 710.8 Effective date.

These regulations shall take effect on January 1, 1978.

APPENDIX 2

SOURCES OF CAS REGISTRY NUMBERS

Chemical Abstracts Service (CAS) has assigned a unique Registry Number to each of over four million chemical substances and mixtures. Finding the CAS Registry Number for a substance will greatly simplify its reporting for the Inventory. With its CAS Registry Number, the substance may be identified simply by entering the number and a specific chemical name. Without the CAS Registry Number, the chemical substance must be identified by detailed chemical information of the type specified in Chapter 3 of this booklet.

The format of a CAS Registry Number is AAAAA-BB-C, where A, B, and C are numbers from 0-9. The first five digits may include leading zeroes which are often omitted. For example, the number 00106-72-9 would be represented as 106-72-9, omitting the first two zeroes.

CAS Publications

The Chemical Abstracts Service offers a number of documents which are useful sources of CAS Registry Numbers. These are:

1. The CA (Volume or Collective) Chemical Substance Indices,

2. The CA (Volume or Collective) Formula Indices,

3. The CA INDEX GUIDE, and

4. The CA REGISTRY HANDBOOK -- Common Names (on microform).

The first three sources are commonly found in major academic libraries; the fourth is commercially available from the Chemical Abstracts Service, located in Columbus, Ohio.

CAS Registry Numbers may be found in these publications by searching lists of trivial or common names, systematic CA Index Names, or molecular formulas. These sources cover the full range of substances reported in the scientific and technical literature.

The first three sources are published by CAS in conjunction with the publication of Chemical Abstracts. Chemical Abstracts is a weekly journal comprised of abstracts and index entries for recent publications relevant to chemistry and chemical engineering. CAS compiles comprehensive volume indices every six months. The CA Volume Chemical Substance Index relates the CA Index Names of substances, along with their CAS Registry Numbers, to CA Abstracts Numbers of publications, abstracted in the volume, in which the substances were mentioned.

CAS also publishes the CAS REGISTRY HANDBOOK -- Number Section, a comprehensive listing of substances registered in the CAS Chemical Registry System. The Handbook lists, in ascending CAS Registry Number order, the CA Index Name and molecular formula for each CAS Registry Number. The Handbook is not intended to be a source of CAS Registry Numbers. It may be used, however, to confirm a chemical substance identity, a CA Index Name, or molecular formula linked to a particular CAS Registry Number. It cannot be emphasized too strongly that CAS registrations are highly specific. Different postional isomers, sterochemical isomers, and salt forms have distinct CAS Registry Numbers. For example, there are four (4) registry numbers for xylenes, one for each of the three isomers, and one for an undifferentiated combination of these isomers. THE REGISTRY

HANDBOOK -- Number Section, with its inclusion of the usually systematic CA Index Names, will help to validate a CAS Registry Number that might have been obtained from a search using a non-chemically descriptive substance name.

Other Sources

CAS Registry Numbers may also be found in computer-based information retrieval systems. Three on-line information systems that include CAS Registry Numbers are the NIH/EPA Chemical Substructure Search System, the National Library of Medicine's CHEMLINE file, and Lockheed's CHEMNAME file. Many academic and public libraries are equipped with facilities for searching these computer-based files.

IMPORTANT: In reporting the identity of chemical substances for the Inventory, care must be taken to ensure, first, that the proper CAS Registry Number has been selected, and second that the chemical name is as specific as possible. The substance name should uniquely identify the substance and should include such information as positions of chemical substitutent groups, salt forms and ratios, and sterochemistry as appropriate. Any inconsistency between the structure associated with a particular CAS Registry Number and the name supplied will prevent the substance from being added to the Inventory until clarifying information is provided. Also, the fact that a CAS Registry Number exists for a chemical does not mean it is necessarily a reportable chemical substance. For example, many numbers refer to mixtures, which may not be reported for the Inventory.